

DOCUMENT RESUME

ED 200 078

HE 013 538

AUTHOR Lockwood, G.; Prosser, E.
TITLE Survey of the State-of-the-Art and Likely Future Trends of University Management in Europe: Denmark-Ireland-Norway-Sweden-United Kingdom.
INSTITUTION Organisation for Economic Cooperation and Development, Paris (France). Centre for Educational Research and Innovation.
PUB DATE Nov 79
NOTE 193p.; For related documents, see HE 013 539, HE 013 655-656. All four documents available as a set only from OECD. Individual reports available from EDRS in microfiche only.
AVAILABLE FROM IMHE Programme, OECD/CERI, 2, rue Andre Pascal, 75775 Paris CEDEX 16, France (\$30.00 complete set of 4).
EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS Accountability; *Administrative Organization; Administrative Policy; Administrator Attitudes; Budgeting; *College Administration; College Environment; College Planning; Comparative Analysis; *Comparative Education; Compliance (Legal); Decision Making; Educational Assessment; Educational Demand; Educational Finance; Faculty College Relationship; Financial Problems; *Foreign Countries; Higher Education; Institutional Autonomy; *Institutional Characteristics; Legal Responsibility; Organizational Climate; Policy Formation; Productivity; School Size; Self Evaluation (Groups); Student Attitudes; Student College Relationship; Teacher Attitudes; Trend Analysis
IDENTIFIERS Denmark; *Europe (West); Ireland; Norway; Sweden; United Kingdom

ABSTRACT

Trends in university management in Denmark, Ireland, Norway, Sweden, and the United Kingdom were studied as part of a larger study of European universities. The survey instrument collected information on basic facts on the institution, the organizational system, the decision-making system, the administrative structure, management techniques and innovations, and opinions concerning the difficulties faced by management and major improvements management should implement. Key content areas of the study were as follows: educational demands as influenced by demographic swings and pressures on behalf of particular interest groups, new legal requirements and restrictions, public accountability, institutional autonomy, increases in the number and sizes of universities, effects of economic uncertainty, the increasing complexity of university management, a lack of internal cohesion or consensus within many universities, management/employee relations, and pressures to increase productivity. Different types of management structures and practices were also studied, including budgeting techniques, space utilization, and planning models of student enrollment. Additional concerns were the effects of the professionalization of university administrators, trends toward socialization, and whether changes in administrative structures have occurred. Future projections concerning the management of European institutions and comparisons to the current situation in North America are included. (SW)

SURVEY OF
THE STATE-OF-THE-ART
AND LIKELY FUTURE TRENDS
OF
UNIVERSITY MANAGEMENT
IN EUROPE

**DENMARK-IRELAND-NORWAY
SWEDEN-UNITED KINGDOM**

PERMISSION TO REPRODUCE THIS
MATERIAL IN MICROFICHE ONLY
HAS BEEN GRANTED BY

OECD

TO THE EDUCATIONAL RESOURCES
INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRO-
DUCED EXACTLY AS RECEIVED FROM
THE PERSON OR ORGANIZATION ORIGIN-
ATING IT. POINTS OF VIEW OR OPINIONS
STATED DO NOT NECESSARILY REPRESENT
OFFICIAL NATIONAL INSTITUTE OF
EDUCATION POSITION OR POLICY.

CENTRE FOR EDUCATIONAL
RESEARCH AND INNOVATION
(CERI)

ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

The views expressed in this document are those of the authors and do not commit
either the Organisation or the national authorities concerned.

PROGRAMME ON INSTITUTIONAL MANAGEMENT IN HIGHER EDUCATION

SURVEY OF
THE STATE-OF-THE-ART
AND LIKELY FUTURE TRENDS
OF
UNIVERSITY MANAGEMENT
IN EUROPE

**DENMARK-IRELAND-NORWAY
SWEDEN-UNITED KINGDOM**

by
G. LOCKWOOD
Registrar and Secretary
and
E. PROSSER
Assistant Secretary
University of Sussex
United Kingdom

CENTRE FOR EDUCATIONAL
RESEARCH AND INNOVATION
(CERI)

ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

SURVEY ON THE STATE-OF-THE-ART AND LIKELY FUTURE
TRENDS OF UNIVERSITY MANAGEMENT IN EUROPE

AREA REPORT
on Denmark, Ireland, Norway, Sweden
and the United Kingdom

<u>CONTENTS</u>	<u>Page</u>
1. Background	1
2. Area	3
3. Data Collection	5
4. Country Notes	9
5. Summary Tables derived from responses to the Recording Instrument	19
6. Respondents' Opinions on Problems and Issues	112
7. Issues	125
8. Conclusion	133
Appendix: Project Description	134

November 1979

SURVEY ON THE STATE-OF-THE-ART AND LIKELY FUTURE
TRENDS OF UNIVERSITY MANAGEMENT IN EUROPE

AREA REPORT
on Denmark, Ireland, Norway, Sweden
and the United Kingdom

1. BACKGROUND

- 1.1 In April 1969, the OECD called together experts in the field of university management for a conference on 'University Planning and Management Techniques' the objective of which was to consider the state-of-the-art of university planning and management techniques.

'The remaining problems of determining institutional mission, of reducing unit costs without lowering the quality of the output, of more efficient planning and co-ordination of research activity, of devising curricula of continuing relevance, of harnessing the technology of education and of continuously adjusting their activities to meet the changing needs and circumstances, cannot be resolved without changes in management styles of universities'.¹

These concluding remarks of the report on the conference raise the question of what developments in those respects have occurred in the past decade.

Through its Programme on Institutional Management in Higher Education (IMHE), which was founded in 1969, the OECD was able to provide the organisational framework for such a survey. Thus, the 'Survey of the State-of-the-Art and Likely Future Trends of University Management in Europe' was embarked upon in 1979.

- 1.2 The objectives of the survey were as follows:

- to study recent developments in the structure and practice of university management in a sample of European universities
- to compare that development with the North American experience in respect of techniques and practices
- to provide information and views as a basis both for discussion across national boundaries and for the launching of more detailed studies in some of the selected countries and institutions

In these respects the survey deals with intra-institutional administration, the bodies and persons taking decisions, the structure and process of decision-taking, and with the administrative system, which on one hand provides decision-making bodies with information as basis for decisions and which on the other hand has to implement the decisions taken.

Having defined the objectives of the survey, problem areas were determined and covered in the construction of a standardised questionnaire.

/...

¹G. Lockwood: University Planning and Management Techniques, OECD, Paris, 1972.

Several 'key-areas' were identified to describe the problems the survey would have to consider:

- Demographic swings, which have significant influence, exacerbated by inaccurate predictions and by pressures on behalf of particular interest groups (Demand profile)
- Many new legal requirements which are imposed on higher education institutions and create new problems (new legal requirements and restrictions)
- The demand for higher education institutions to be more detailed and open in their accountability to the public (public accountability)
- The increase in the number and sizes of higher education institutions have a major effect upon management (scale)
- Effects of economic recession which have had negative consequences on both private and state institutions (effects of economic uncertainty)
- Rapid growth during the past decade and implementation of new structures have made institutions more complex from the viewpoint of management (complexity)
- The breaking up of the firm consensus which held institutions together in former years has created major problems for the management (internal cohesion)
- Changes in working conditions, changing career possibilities, and other demands by employees have changed the nature of the relations between staff and management (management/employee relations)
- Pressures to increase the productivity of each input have magnified as the scale of operations requires more investment and as national economies have suffered from inflation (productivity)

1.3 The full description of the project is given on pages 134-140. At its core the project consists of collecting and interpreting information and opinions on a limited number of aspects and problems of institutional management in a sample of institutions of higher education in order to provide an initial report on the 'state-of-the-art' as a precursor to more detailed studies concentrated upon particular countries or issues.

1.4 The concept of Area Teams was devised as a means of bridging the gap between the amount of material to be covered and the number of visits to be made, and the limited amount of time and finance available i.e. one team could not have covered the ground in the time allocated to the project. The fact that the allocation of work to the three teams followed, in particular, linguistic/cultural factors was a secondary consideration which has both advantages and disadvantages.

The area teams have attempted to relate closely to each other, partly by joint design of the common base document (Recording Instrument), partly through discussions in full project team meetings and partly by joint consideration of the three Area Reports. Nevertheless it is inevitable that the Area Report reflects the differences in views,

/...

interests and ways of thinking of the members of the teams as well as differences of substance amongst the countries and institutions studied by the teams.

2. AREA

- 2.1 The personnel of the Area Team consisted of Mr. Geoffrey Lockwood (Registrar and Secretary, University of Sussex) and Mr. Edward Prosser (Assistant Secretary, University of Sussex). We would like to pay tribute at this point to the many people who gave freely of their time and views during our interviews. We deliberately kept the written work which people had to do to a minimum, and we have no doubt (for future reference) that that approach contributed to the openness which we met everywhere.

We also wish to thank the institutions for their generous hospitality during our visits. Institutions as distant and different as Tromsø and Trinity College, Dublin or Uppsala and Cork eased considerably the social and financial pressures under which we worked.

We particularly wish to express our gratitude to the individuals in each country who made the arrangements for our visits i.e. Michael Kelleher (Ireland), Paul Carpentier (Denmark), Karl Schjetne (Norway), Paul Almfelt (Sweden), and Duncan Cameron (United Kingdom).

- 2.2 The institutions visited were:

2.2.1 Denmark

Ministry of Education (30th May 1979)
 Technical University, Copenhagen (28th and 31st May 1979)
 University of Roskilde (29th May and 2nd June 1979)

[Note: the University of Copenhagen, which during the Area Team's visit was celebrating its 500 year anniversary, was unable to participate in the scheduled programme of visits. It should therefore be stressed that the Danish sample was therefore qualitatively much less representative than had been intended.]

2.2.2 Ireland

Higher Education Authority (5th April 1979)
 University College, Cork (2nd and 3rd April 1979)
 Trinity College, Dublin (3rd and 4th April 1979)
 National Institute of Higher Education, Limerick (5th and 6th April 1979)

2.2.3 Norway

Ministry of Church and Education (2nd May 1979)
 University of Trondheim (25th and 25th April 1979)
 University of Tromsø (27th and 28th April 1979)
 University of Oslo (2nd and 3rd May 1979)

2.2.4 Sweden

Ministry of Education (26th June 1979)
 National Board of Universities and Colleges (26th June 1979)
 Royal Institute of Technology, Stockholm (25th and 27th June 1979)
 University of Uppsala (28th and 29th June 1979)
 University of Linköping (2nd and 3rd July 1979)

/...

2.2.5 United Kingdom

University of Leeds (8th and 9th March 1979)
 Sheffield Polytechnic (7th March and 23rd July 1979)
 Central Polytechnic of London (27th February and 6th July 1979)
 Heriot-Watt University (26th and 27th March 1979)
 University of Edinburgh (27th and 28th March 1979)
 University of Sussex (Various 1979)

[Note: no visits were made to either the Department of Education and Science or the University Grants Committee; equivalent visits in other countries were undertaken in order to secure information at national level which in the U.K. was already available to the Area Team.]

- 2.2.6 The sample therefore contained institutions functioning in five different national environments, institutions of varied size (ranging from approximately 1,000 to 16,000 students), institutions with over 500 years of tradition and institutions with less than 10 years of history, universities sited in cramped old buildings in dense urban zones, universities on spacious rural sites ... and so on.

In terms of quantity, the representatives of the sample was as follows:

<u>Country</u>	<u>Number of Institutions Visited</u>	<u>% of Total Number of Comparable Higher Ed. Institutions</u>
Denmark	2	11%
Ireland	3	50%
Norway	3	30%
Sweden	3	30%
U.K. (Universities)	4	9%
(Polytechnics)	2	7%

Although the sample of institutions was quite large (it amounted to approximately 20% of the relevant institutions in the Area) it needs to be stressed that the project is concerned with the management of individual institutions i.e. if the sample had consisted of an entirely different 20% then the results might have been significantly altered. The conditioning influence of national systems reduces that risk of the sample not being representative.

- 2.3 The people interviewed are summarised in the following chart. It must be borne in mind that the visits largely took place in vacations and that the type of person sought was likely to be heavily committed for the very reasons we wished to see him or her. Thus, despite the considerable efforts of the liaison men in each institution it was not possible to meet with the full range in each place. Secondly, we occasionally saw representatives of officers (e.g. a ✓ in the Rector column does not necessarily mean that we interviewed the Rector, it might have been a Pro-Rector). The coverage averaged 7.6 people in each institution (with no one institution falling below 6) and with the exception of the

/...

category representing decentralised units (35%) none of the other categories of personnel fell below 70% and the average for those nine categories was 81%.

Institution	1	2	3	4	5	6	7	8	9	10	Total
Tech. Univ. Copenhagen	✓	✓				✓	✓	✓	✓	✓	7
Roskilde Univ. Centre	✓	✓		✓	✓			✓	✓		6
Univ. College, Cork	✓	✓	✓	✓	✓	✓	✓	✓	✓		9
Trinity College Dublin	✓	✓	✓	✓	✓	✓		✓	✓		8
N.I.H.E. Limerick	✓	✓	✓		✓		✓	✓	✓	✓	8
Univ. of Trondheim	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10
Univ. of Tromsø	✓	✓	✓	✓	✓	✓	✓		✓		8
Univ. of Oslo	✓	✓		✓		✓		✓		✓	6
R.I.T. Stockholm	✓	✓	✓	✓		✓	✓	✓	✓	✓	9
Univ. of Uppsala		✓	✓		✓	✓	✓	✓	✓		7
Univ. of Linköping	✓	✓			✓	✓	✓	✓			6
Univ. of Leeds	✓	✓		✓	✓	✓	✓	✓	✓		8
Sheffield City Poly		✓	✓	✓	✓	✓		✓			6
Central Poly. London	✓	✓	✓	✓	✓	✓	✓	✓			7
Heriot-Watt Univ.	✓	✓	✓		✓	✓	✓	✓			7
Univ. of Edinburgh	✓	✓	✓	✓	✓		✓		✓		7
Univ. of Sussex	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	10
Total	15	17	12	12	13	14	13	15	12	6	129

Key:

- 1 Head of Institution
- 2 Head of Administration
- 3 Officer responsible for finance
- 4 Officer responsible for buildings
- 5 Officer responsible for planning
- 6 Representative of the professors
- 7 Representative of the non-professorial teaching staff
- 8 Representative of the non-academic staff
- 9 Representative of the students
- 10 Representative of a decentralised unit

- 2.4 It is important at this point to stress that the working method makes the Area Team fully responsible for all of the contents of the report; the institutions visited and the people interviewed are not to be held responsible for the data and views recorded. The information given by institutions has been adjusted for presentation by the Area Team in order to improve comparability across the institutions. More significantly, the views recorded during interviews were the interviewer's impressions and interpretations and not necessarily the precise remarks of the interviewee i.e. there is a considerable amount of judgement (guesswork, if you prefer) involved in the interview summaries since the aim was not merely to record what was said.

3. DATA COLLECTION

- 3.1. In order to ensure comparability as far as possible in the work of the three Area Teams and in the information collected across Europe, the members of the project team agreed upon a common base document; they

/...

were assisted in that process by the discussions at the wider steering group in Paris in September 1978. Individual teams no doubt sought information and opinions on matters not covered in the Recording Instrument but most of their work has been structured by that document. The Recording Instrument (copy available from OECD) consists of six sections:

- 3.1.1 Basic Facts on the Institution i.e. a brief fact sheet or carte d'identite to enable the replies to the other sections to be put in context.
- 3.1.2 Organisational System i.e. a section designed to obtain a general description of the organisational system and information/opinions on that system from a few selected perspectives.
- 3.1.3 Decision-making System i.e. a section which looks at the working of the organisational system by concentrating upon how decisions are made in a key and representative areas.
- 3.1.4 Administration System i.e. a general description of the administrative structure and information/opinions on the functioning of that structure from particular viewpoints.
- 3.1.5 Opinions i.e. a section designed to obtain views on
 - (a) the major difficulties faced by management in the recent past and those which might remain or arise in the future;
 - (b) the major improvements which the respondents think management should seek in the institution's situation or performance.
- 3.1.6 Management Development i.e. a section to record views on management techniques and innovations with particular reference to perceived examples of successful management progress.
- 3.2 The Recording Instrument proved to be an effective document; it caused few problems and, in particular, it has not over-burdened the institutions with requests for information i.e. the Recording Instrument allowed the Area Team to do as much of the work itself as was possible rather than following the well-worn path of similar projects by sending out a demanding questionnaire. In particular, the completed Recording Instruments are valuable as 'snapshots' of the issues and problems faced by a range of higher education institutions in Europe which were taken at the same point of time (February - June 1979) and with a degree of consistency in the assessment of both information and views. The completed documents are worthy of more rational and serious analysis than the present project has the time or resources to conduct.
- 3.3 As with all surveys, care should be taken in making use of the material and those points for caution need to be mentioned in order to ensure that readers do not overlook them. For example:
 - 3.3.1 The Recording Instrument was designed with successive English drafts by Geoff Lockwood and French drafts by Jean Jadot, and some questions (e.g. 1.8, 3.1, 4.5(b) and 5.6) show signs of that process; that is perhaps a price which should be set against the other benefits of the project being undertaken by professional research workers).
 - 3.3.2 Although the questions and items were common in all of the

/...

Recording Instruments there were severe difficulties caused by differences in the usage of terms and definitions and by differences in the national categories. It is, for example, virtually impossible to create a common classification framework of any meaningful substance relating to the staff or employees of universities in Europe. Those difficulties and differences make the quantitative items in the Recording Instrument less useful.

- 3.3.3 The visits and interviews were conducted under severe pressures of time. Almost all of the interview responses were immediate and impressionistic ('off the cuff'); whereas the entries in the factual part of the Recording Instrument were submitted to a subsequent check by the institution concerned, interviewees were not given any opportunity to see or check the record of their interview.
- 3.3.4 The Area Team acknowledges that the formulation of certain of the questions, in particular the opinion questions, might be considered to invite responses of a type expected by the Area Team. The consequences of this so-called 'placebo effect' cannot be precisely measured.
- 3.4 The project is concerned with institutions of higher education in their primary purposes and attempts to remove differences not related to those purposes, but that is not possible in two senses. Firstly, in quantitative terms it is difficult entirely to remove the differences e.g. if a British University is fully responsible for the financing and managing of all services to students and for the planning and erection of new buildings, whereas a Scandinavian university has few, if any, such responsibilities, it is impossible entirely to separate out costs and duties to equate the management of those two universities as related only to the primary academic purposes. Secondly, in qualitative terms the differences are equally marked. Even if, in the above example, it was possible to remove the quantitative aspects of student services from the British university returns it is impossible to remove the effects of those services on the qualitative aspects of management (i.e. a senior British administrator's views on management, and his daily work in management, are conditioned by the fact that the University is responsible for the management of the community and social services as well as the academic institution). The example is an extreme one but the limitation applies in less extreme cases e.g. if one University in a national framework is responsible for running a major national Library and a regional Theatre whereas another university does not have those responsibilities it is difficult to make the adjustments to compare them fairly in quantitative terms and it is impossible for the people in the former institution to put those special responsibilities out of their minds when answering the qualitative questions.
- 3.5 The remainder of this Area Report reports in detail on the findings gathered from the Recording Instruments on the seventeen institutions within the Area. These findings are prefaced, in Section 4, by some brief comments on the higher education system within each of the five countries within the Area. These are not designed to offer a detailed exposition of those systems, but to introduce or recall in brief the broader national context within which individual institutions have to function.
- 3.6 Three further introductory comments on the findings are necessary:
- (1) the comments included in this report, which was completed in November 1979, are above all first responses to the data collected. The extent and nature of much of that information is such that further time and thought should give scope for more careful and detailed analysis that it was possible for the Area Team to achieve within the time available;
- /...

- (2) the Area Team has not included all items covered within the Recording Instrument on the basis of its judgement on the relative interest/value of the information concerned. The information collected, however, remains available for further assessment and exploitation. In particular, the following are amongst the items of information which have not been elaborated on:

- Q. 1.7 Student numbers analysis by level.
1.8(a) Staff numbers analysis by type.
1.10(b) Annual Operating Expenditure.
2.2 Frequencies of meetings of committees.
3.1 The full range of sample decisions in terms of decision location.
4.4 Information received on Administrative Budgets.

- (3) the reference numbers relate to the numbers of the questions as set out in the Recording Instrument itself.

/...

4. COUNTRY NOTES

- 4.1 The following five sections give a brief description of the higher educational systems and contexts within each of the five countries encompassed by the Area Report. A number of them rely heavily on accounts given in other publications, principally the Encyclopaedia of Higher Education (Jossey Bass, 1977). They are intentionally brief and therefore omit a range of detailed further information which was collected during the Area Team's visits and which informs the findings in the remainder of the Report.

4.2 Denmark4.2.1 Main Sectors of Higher Education

The Danish system of higher education is divided into three sectors of institutions, all of which are state-supported. Most of these institutions are under the control of the Ministry of Education except for colleges of art, architecture, and music which are controlled by the Ministry of Cultural Affairs. The three sectors are:

- (1) Universities and University Centres: These institutions contain a range from the traditional array of faculties of medicine, theology, natural sciences, arts, and social sciences (including law). University centres may also provide instruction in subjects offered in the institutions listed in (2) and (3) below (e.g. engineering, business, teacher training, social welfare). They also differ from the universities in requiring an interdisciplinary "basic course" in the first year. The universities are: (1) Copenhagen, founded in 1479; (2) Aarhus, founded in 1928; and (3) Odense, founded in 1966. The university centres are: (1) Roskilde, founded in 1972; and (2) Aalborg, founded in 1974.
- (2) Other institutions of higher education: These institutions offer university-level training in technical and other specialised disciplines. They include the Danish Technical University, the Royal Veterinary and Agricultural University, the Academic School of Engineers, the Danish School of Pharmacy, the Danish School of Educational Studies, two dental colleges, and two schools of business administration. The institutions offer the full range of degrees for periods of study equivalent to the universities.
- (3) Institutions of further education. These include teacher training colleges, library schools, social work schools and lesser technical and commercial colleges. These institutions offer post-secondary education for a period 2-4 years.

4.2.2 Legislation and Government

- (1) Danish higher education changed more swiftly from medieval university to 'democratic' institutions than most of Europe, and is now governed by a 1973 Act on the Management of Higher Education Institutions (see (3) below). Up to 1970 there was no such general Act and each institution was governed in accordance with its own Statute. During that period, the professoriat exercised the principal role in University government, holding ex-officio managerial control individually within the subject field concerned (i.e. there were no 'departments' as such) and collectively at collegiate level. The Rector and the Pro-

/...

Rector would be elected by and from amongst the professors, as would the Deans who would also have ex-officio membership of collegiate bodies. Financial affairs were dealt with according to the model (familiar from the Prussian state) of a Kurator directly responsible to and appointed by the Ministry.

- (2) In 1970, following the period of unrest in the late 1960s, the first Act on the Management of Universities (N.B. universities only) was passed. Its main effect was to end the period of professorial control and to admit students to a governing role. In summary, the Act provided for:
- (a) the creation of departments responsible for teaching and research in their field, and also the creation in parallel of study boards with responsibility for the curriculum e.g. department councils were responsible for research policy and the allocation of research funds, and for full-time appointments, while study boards decided on curriculum, teaching, examinations, and part-time teaching (e.g. teaching and research support mostly on an hourly-paid basis).
 - (b) two new formulae for the composition of governing committees, namely:
 - (i) for the Supreme Council, Faculty Councils, and the newly created Department Councils, a ratio of 2/3 teachers (without regard to grade) and 1/3 students;
 - (ii) for the newly created Study Boards, a ratio of 1/2 teachers (without regard to grade) and 1/2 students.
 - (c) a changed method of appointing the Rector and Pro-Rector, who were now to be elected by and from the Faculty Councils (i.e. extending the electorate but not the eligibility to non-professors).
- (3) The 1973 Act (which was the one in force at the time of the OECD State of the Art Project visits) built on the 1970 Act and the coverage of the Act was extended also to those institutions in category (2) in para. 1 above. The main change which was brought about by this Act was the admission of non-teaching staff to government (i.e. technical and administrative personnel, called "TAP" hereafter). The following is an adapted summary of its main provisions from a publication by the Ministry itself:¹

"The Minister of Education is the supreme administrative authority for the institutions covered by the Act. The central government administration of this area is in the hands of the Directorate for Further Education of the Ministry of Education. A number of provisions in the Act authorise the Minister of Education to issue regulations for the activities of the various institutions within a number of fields, e.g. entrance regulations, curricula, and degrees, the granting of the licentiate (Danish Ph.D.) and the higher doctoral degrees, the appointment of academic staff and other teachers, and the expulsion of students. It is the task of the Ministry of Education to examine the budget of the various institutions and to allocate funds on the basis of the Parliament's annual Finance Act.

/...

¹"A Survey of the Administration of the Educational System in Denmark". Ernst Graveson. Ministry of Education, Copenhagen 1978.

The administration of each institution is in the hands of the rektor together with the Governing Body ('Konsistorium') and the various councils, Department Councils, and staff-student committees which are responsible for the research and educational activities of that institution. The rektor and the pro-rektor are elected for 3 and 2 years, respectively, among the professors and full-time senior lecturers of the institution. The rektor represents the institution vis-a-vis the general public and is responsible for its day-to-day administration. (i.e. 'The Rector shall have an administration at his disposal headed by an administratively-trained manager').

'Konsistorium' is the supreme collegiate body of the institution, and it decides on all matters concerning the institution as a whole, or matters involving 2 or more faculties. If the Governing Body has more than 12 members it must set up a Budget and Executive Committee.

Within each faculty the administration is in the hands of a faculty council (fakultetsrad) elected according to the same principles as used in the case of 'Konsistorium'. This council will decide in all matters concerning the faculty as a whole (e.g. it appoints and dismisses full-time teachers, confers the higher doctoral degrees, and is responsible for the division of appropriations between the various faculties, departments, and staff-student committees).

A faculty may be divided into sub-sections (faggrupper) consisting of related fields of study. The administration of such a sub-section is in the hands of a council, which may take over certain responsibilities otherwise pertaining to the faculty. The research activities of the various faculties are normally administered by departments. The chief authority of a department is the Department Council (institutrad), consisting of the full-time and some of the part-time teachers attached to the department, together with representatives for the students, and representatives of the technical-administrative staff. A central study board committee is established under each faculty, and similar committees may then be established for groups of subjects or individual subjects, for fields of study or for individual elements of a subject. The study boards (fakultetsstudienævn) consist of an equal representation of teachers and students."

Thus, the most important change, which is reflected in the institutional analyses is the switch from the 2:1:0 governing formula of the 1970 Act to the mixed 2:1:1 and 1:1:0 formula of the 1973 Act.

4.2.3 The Central Level

- (1) The Directorate for Further and Higher Education is concerned with the direction and control of higher education at universities and other higher education institutions, the regional computing centres and the National Hospital. The Directorate is assisted by:
 - (a) a Central Advisory Council (which was the subject of study by the OECD in 1975-6) of about 18 persons, consisting of members appointed by the Minister of Education, by local government, by labour market organisations, and by student organisations, and the Chairmen of each of:

/...

- (b) six subsidiary advisory committees of about 16 persons, consisting entirely of Ministerial appointments from amongst teachers, students, and labour market organisations. The advisory committees are in the field of: humanities, social sciences, natural sciences, medicine, engineering sciences, and psychology/pedagogy.
- (2) There is a Rectors' Committee of about 17 heads of universities and other higher education institutions which meets 7-8 times a year and discusses, on a strictly non-voting basis, general questions, which at present are by and large related to the new law and the structural and procedural matters arising from it. It has no permanent secretariat.

4.3 Ireland

4.3.1 Main Types of Institutions

- (1) Higher education in Ireland is provided by universities; colleges of technology; regional technical colleges; teacher training colleges; and a small number of institutions providing specialised third-level education, such as the Royal College of Surgeons, the College of Pharmacy, the National College of Physical Education, and the National College of Art and Design. In 1970 the National Institute for Higher Education was established in Limerick to provide tertiary education with a technological and commercial emphasis in the mid-western part of the country. A similar institution is being established in Dublin.
- (2) There are two universities in Ireland, the National University of Ireland and the University of Dublin. The National University of Ireland, established by law in 1908, consists of three constituent colleges at Dublin, Cork, and Galway, which have existed in various forms since the middle of the nineteenth century, and a number of recognised colleges, including St. Patrick's College at Maynooth, which was founded in 1795. This College is a Catholic seminary, but since 1968 it has also been open to lay students. It is a pontifical university, but the awarding of degrees is reserved, in relation to secular disciplines, to the Senate of the National University of Ireland. The other recognised colleges are teacher training institutions.
- (3) The University of Dublin contains one college, Trinity College, and dates back to the sixteenth century. The College is the University except that, together with some minor functions, the formal awarding of degrees is reserved for the Senate of the University.
- (4) In the non-university sector, degrees are awarded by the National Council of Education Awards, a body similar to the CNA in the U.K.

4.3.2 Legislation and Government

- (1) The principal legal texts governing higher education in Ireland are the Irish Universities Act of 1908, establishing the National University of Ireland and its constituent colleges; the University College Galway Act of 1929, concerning the use of Irish for teaching and administrative purposes at the college; the Vocational Education Act of 1930, concerning higher technical education; and the Higher Education Authority Act of 1971, establishing the Higher Education Authority.

/...

- (2) General educational policy at all levels is set by the government and executed by the Minister for Education, who is a member of the Government. The Higher Education Authority (HEA) was set up as an ad hoc body in 1968 and was given statutory authority in the Higher Education Authority Act of 1971 and brought into effect in May 1972. The general functions of the authority are:

- (a) to further the development of higher education;
- (b) to assist in the co-ordination of state investment in higher education and prepare proposals for such investment;
- (c) to promote the appreciation of the value of higher education and research, and
- (d) to promote the attainment of equality of opportunity for higher education.

Its specific functions include advising the Minister for Education on the need for new institutions, their nature and form, and the legislative measures required for their establishment. Requests for state funds for the designated institutions (the universities, the Royal College of Surgeons, the College of Pharmacy, etc.) or for institutions designated by the Minister under the HEA Act are submitted to the HEA, which also disburses the funds. The HEA consists of a Chairman and not more than eighteen members, at least seven of whom shall be academic members (holding a post in an academic institution other than Chancellor or Chief Officer) and at least seven non-academic members.

It has a range of standing sub-committees (e.g. Finance, Physical Development, Education and Research).

- (3) As far as the N.U.I. is concerned, the colleges are the teaching organs of the university, and they are for most purposes autonomous, although they derive the greater part of their income from the state. The final decision on appointments to professorships and statutory lectureships rests with the university, as does the awarding of degrees and supervision of courses. The Governing Body of each college includes professors and members elected by the graduates and members nominated by the government and local authorities. The universities also have a senate, composed of representatives of each college as well as members nominated by the Government and local authorities. Each of the university colleges is divided into faculties and departments within the faculties. The University of Dublin (Trinity College) has different structures with governance largely catered for by internal means.
- (4) The system of higher education in Ireland is thus a binary system, consisting of university institutions of higher status and non-university tertiary institutions that offer vocational education. The establishment of the Higher Education Authority is part of the government's effort to create a viable integrated system of higher education for the future. The Government has announced plans to wind up the National University of Ireland and to grant full university status to each of the three constituent colleges (Dublin, Cork and Galway) and, also, to St. Patrick's College, Maynooth.

4.4 Norway

4.4.1 Main types of higher education institution

- (1) University education is available at the University of Oslo, the

/...

University of Bergen, the University of Trondheim, the University of Tromsø, and six schools of university status.

- (2) The University of Oslo, the oldest and largest of the higher education institutions in Norway, was founded in 1811. The University of Bergen, inaugurated in 1948, incorporated the former Bergen Museum, established in 1825. The University of Trondheim was established by integrating the Royal Norwegian Society of Sciences and Letters; the Museum (Kongelige norske videnskabers selskab, Museet), founded in 1970; the College of Arts and Science, founded in 1922 as an advanced teachers college; and the Norwegian Institute of Technology, established in 1910. The integration is not yet complete, and the future of the University remains uncertain. The University of Tromsø was founded in 1968 (and opened in 1972) to meet the educational and research needs of northern Norway. Other higher education institutions with university status include the Oslo School of Architecture, the Free Faculty of Theology, the Norwegian School of Economics and Business Administration, the Norwegian College of Physical Education and Sport, the Veterinary College of Norway, and the Agricultural College of Norway.
- (3) Non-university higher education is available in a number of specialised schools that offer non-degree programs leading to employment. Included in this category are the schools of arts and crafts, nursing, social work, teachers colleges, technical schools, conservatories of music, and the regional colleges. The State Academy of Art for painters and sculptors and the newly established Advanced School of Music, both of which offer the highest education in their fields, are also in this category.
- (4) The regional colleges provide a two-year post-secondary program in economics, administration, social sciences, humanities, technology, natural sciences, environmental study, and tourism.

4.4.2 Legislation and Government

- (1) Higher education institutions in Norway are established by royal decree or by parliamentary resolution.
- (2) Higher education institutions in Norway are autonomous within the budget limitations established by Parliament and the Ministry of Church and Education. The institutions also must adhere to parliamentary laws concerning administration, examinations, the granting of degrees, and other activities.
- (3) The chief executive officer at the universities is a rector, who is elected by the faculty governing bodies. He is assisted by a director, who is responsible for the management of the non-academic aspects of the institution. The rectors and directors of the universities and institutions of university status co-operate closely through the Conference of Rectors of Universities and Colleges, which meets twice a year to discuss matters pertaining to higher education.

/...

- (4) The supreme governing body at the university is the university parliament or senate. Members of this body include the rector and representatives from the teaching staff, the non-academic staff, and the student body. The universities are divided into faculties or institutes, headed by a dean, director, or chairman. Each faculty or institute is governed by a board consisting of teachers, non-academic staff, and students.
- (5) Higher education is financed by the Norwegian government. The major portion of funds is supplied by the national government; however, regions and communities make small contributions to local institutions. The universities, colleges, and other institutions receive an annual budget from the Norwegian parliament. Higher education institutions manage their own budgets within a framework established by the Ministry of Church and Education. Professors and Assistant Professors are formally appointed by the Crown.

4.5 Sweden

4.5.1 Main types of higher education institutions

- (1) In 1976, prior to the restructuring of the system of higher education (effective from July 1977 as a result of the 1975 Reform Law and the 1977 Law on Higher Education), Sweden had six universities: Uppsala (1477), Lund (1668), Stockholm (1877), Gothenburg (1891), Linköping (1967), and Umeå (1963). In addition, there were three university branches, each affiliated with a university: Karlstad university branch (1967), affiliated to Gothenburg University; Växjö university branch (1967), affiliated to the University of Lund; and Örebro university branch (1967), affiliated to the University of Uppsala. The universities provided a full range of academic and professional programs.
- (2) There were also a number of specialised university-level colleges and institutes which offered professional training in fields such as agriculture, architecture, engineering, forestry, medicine and dentistry, journalism, social work, public administration, and teacher training. Among these institutions were Chalmers Institute of Technology in Gothenburg, the Royal Institute of Technology in Stockholm, the Caroline Institute of Medicine in Stockholm (all still existing as such), and the Royal College of Forestry in Stockholm and the Royal Veterinary College in Stockholm (both now re-organised as part of the Agricultural University of Sweden). In addition to the state-run higher education institutions, certain programs, such as nursing and recreational personnel training, music and art education, are offered by local education authorities (kommunal högskoleutbildning).
- (3) The 1968 Educational Commission (U68) proposed a complete reorganisation of Sweden's educational system, in a report which was submitted in March 1973. After a number of modifications, the commission's

/...

proposals were incorporated into a reform act, which was submitted to the Riksdag in February 1975 and passed in May 1975 to take effect on July 1st, 1977. Among the far-reaching proposals of the act are a broadening of the concept of higher education, increased democracy in decision making, decentralisation of the administration of education, greater stress on recurrent education, and expansion of research (Reform of Higher Education, 1975).

- (4) The reform included within higher education (högskolan) all forms of education needed for the working life. Thus, in addition to the traditional universities and colleges, education now encompasses nursing schools, art schools, and other institutions that usually require only compulsory school for entry; the act also established new rules for measuring entry qualifications and for selection procedures - rules in which aptitude and previous experience as well as formal schooling are considered. Also encouraged in the reform was increased participation of community representatives and practitioners on all bodies responsible for educational planning and decision making, in accordance with the principle that higher education is part of the public education system and thus exists for the benefit of the whole society. The reform also concerned itself with the delineation of power between local and central authorities.

4.5.2 Government and Control

- (1) Ultimate responsibility for Swedish education is held by the Swedish parliament, the Riksdag, which has legislative and fiscal authority. The administration of education is the responsibility of the Ministry of Education and Cultural Affairs, which formulates bills and budgetary proposals for parliamentary consideration and expends voted funds.
- (2) In accordance with the 1975 reform, two agencies administer the system of education: the National Board of Education is in charge of the basic school and secondary and adult education; and the new National Board of Universities and Colleges (Universitets- och högskoleämberget: UHA), which in October 1976 replaced and expanded the functions of the former office of the Chancellor of the Swedish Universities, is in charge of all full-time post-secondary education except agricultural education, which comes under the Ministry of Agriculture. UHA is headed by a chancellor, assisted by a deputy chancellor. The agency is divided into seven bureaus: (1) teacher training and cultural and information occupations; (2) administrative, economic, and social occupations; (3) technical training; (4) research and development; (5) budget and basic resources; (6) management; (7) central admissions. The agency also has five committees for educational planning and research, which specialise in one of the five major areas of training: technology and sciences; medicine, dentistry, pharmacy, and health services; social sciences, law, economics, administration, and social work; humanities, theology, and cultural and information services; and teacher training.
- (3) The six regional boards, one for each higher education region, established by the 1975 reform, are in charge of planning and development of education within their respective regions and may establish committees of experts to aid in their activities. The

/...

composition of these regional boards favours community representation; that is, two thirds of their membership are drawn from the community, while one third of the membership is from the educational institutions.

- (4) Also under the 1975 reform each institution of higher education has its own governing board - with an internal representation (teachers and students) of two thirds, and one third of the members drawn from the world of work - which administers all resources and makes budget proposals. Day-to-day administration is handled by the rector's office. Education committees are in charge of the content and organisation of studies. Research and research training are planned and undertaken within faculties/sections. Each of the faculties/sections also establishes small managerial committees for internal administration.

4.6 United Kingdom

4.6.1 Main types of higher education institutions

- (1) In 1966, the Secretary of State for Education and Science, announced what has come to be termed the 'binary policy'. The binary system, the twin sectors of higher education - the 'autonomous' or university, and the 'public' or further education sector - had come into existence to serve two different purposes; the one mainly full-time academic education and the other mainly vocational, including a large element of part-time and non-advanced work. Henceforward, instead of a traditional 'academic drift' of colleges into the university sector, leaving behind their part-time and non-advanced work, the two sectors would enjoy separate but equal development.
- (2) The University sector: universities differ enormously in size, situation, structure, appearance and in every other respect. Oxford and Cambridge are collegiate universities with upwards of 10,000 students, their ancient colleges scattered throughout and dominating comparatively small cities. St. Andrews and Durham are also old collegiate universities but smaller, with 3,000 - 4,000 students. The federal University of London is large (30,000 students) but its main colleges are medium-sized (3,000 - 5,000). The older civic universities are unitary organisations with from 5,000 students (Reading or Nottingham) to 10,000 or more (Edinburgh, Leeds and Manchester). The younger institutions are smaller (3,000 - 5,000) and often on spacious suburban sites (Exeter, Leicester, Southampton). Keele and the 'New Universities' of the 1960s are all small (2,000 - 4,500) on newly built campuses: some tightly knit complexes (Lancaster, East Anglia, Essex), some with scattered 'pavilions in a park' (Sussex, Warwick, York); some are collegiate (Kent, Lancaster, York), though the colleges are social rather than academic communities, others are unitary but divided into broad 'schools of study' (Sussex, East Anglia, Ulster). The technological universities are much the same size (3,000 - 5,000), and some have moved out to new rural campuses (Bath, Brunel, Surrey) while others are redeveloping their old urban sites (Aston, Salford).
- (3) The public sector: the main instrument of the binary policy was to be the polytechnic, a comprehensive institution in which most of the advanced work, full-time and part-time, in an area was to be concentrated. Under the White Paper "A Plan for Polytechnics and Other Colleges of Higher Education in the Further Education Sector" (Cmd. 3006, 1966) thirty polytechnics were to be created either singly or by amalgamation from existing regional and other technical

/...

colleges, colleges of commerce and colleges of art. They were all designated between 1969 and 1972.

The public sector is extremely diverse in the qualifications offered and the institutions within it also vary in size and structure. There are polytechnics like Central London with over 12,000 students, small colleges of further education with few full-time and fewer advanced students, and even institutes with none at all. Nearly all are in the centres of towns and cities within reach of their part-time clientele. The polytechnics and larger colleges, however, draw their full-time students from a wider field. Their degree courses, increasingly validated by the CNAA, whose boards and subject panels and external examiners include many university teachers, are based on modern developments in course design, e.g. polytechnic modular degrees.

Colleges of education also vary in size, character and situation, but for the most part they are small (under 1,000 students), but the day of these monotechnical institution for the teaching profession is over and, in order to provide a wider and more diversified higher education service, colleges are being amalgamated, merged with polytechnics or closed.

4.6.2 Administration and control

- (1) The two sectors of the binary system are administered and financed quite separately. Apart from Northern Ireland where the government funds all institutions of higher education directly, the universities of Britain, with the exception of the Open University, the Royal College of Art and Cranfield Institute of Technology with their direct grants from the DES, are financed mainly through a unique British institution, the University Grants Committee. A committee of unpaid senior academics and leading business and professional men under a full-time chairman (the only paid member), it advises the Government on the universities' needs and distributes the block grant it receives between them as it thinks fit. As a buffer between the universities and direct state control, it is the main safeguard of university autonomy.

In 1964 the UGC was transferred from the Treasury to the DES which, with the opening of the universities to parliamentary audit in 1968, gained direct access to their accounts. The UGC now provides about 90 percent of both recurrent and capital expenditure, the rest coming from fees, endowments, donations and research contracts. With such large sums at stake the UGC has been forced to increase its supervision of university expenditure, by means of 'memoranda of guidance' recommending certain developments and discouraging others, and by a tight control of new buildings and capacity planning, exercised through a Secretariat of about a hundred officials.

- (2) The further education sector is financed by the Department of Education and Science in England and Wales, the Scottish Education Department and the Northern Ireland government, and - in Britain - mainly through the local authorities (except for the thirteen Central Institutions financed directly by the Scottish Education Department). In England and Wales the voluntary colleges of education and certain other institutions receive direct grants from the DES. Further education in England and Wales is co-ordinated by a system of National

/...

and Regional Advisory Councils, representing the DES and other government departments, the various professional and industrial associations, the examining boards, the local authorities and the teachers. They attempt to ensure that courses in each area are adequate without unnecessary duplication. Most local authority income for further education comes in the form of a block grant, but the DES controls expenditure, both recurrent and capital, more formally but in much the same way as the UGC controls the universities.

- (3) Most universities, apart from Oxford and Cambridge where complete academic autonomy exists, are governed by a large Court of governors (widely representative of local authorities, professional bodies, trade unions and other lay members together with academic staff and students) with a smaller but similarly representative executive Council; and a Senate of professors, elected lecturers and student representatives (or equivalent bodies under different names in the Scottish and some other universities). At lower levels, governance is through a series of boards or committees for faculties, schools, boards of studies, colleges (if any) and departments, on each of which sit professors, non-professorial staff and, increasingly, student representatives. The lay Chairman of Court or Council is an important officer but the effective head of a university is its Vice-Chancellor (or Principal) who is normally appointed for life by the Court or Council in consultation with the Senate.
- (4) Technical colleges and local authority colleges of education have long had governing bodies on which the local authorities generally had a decisive majority. Now an Act of Parliament of 1968 requires polytechnics and other maintained colleges to have articles of government which specify the functions of the local authority, the governing body, the principal and the academic board. Government policy is for the governing body to be more independent of the local authority and for the academic staff and students to be represented on it. By 1972 most polytechnics had student representatives on the governing body, academic board and most other committees, and other colleges were following the same path.

5. SUMMARY TABLES DERIVED FROM RESPONSES TO THE RECORDING INSTRUMENT

- 5.1 The following section reproduces the data collected from the Recording Instrument and offers a limited amount of comment on certain of the more interesting findings. As stressed earlier in this Area Report, time has not permitted a full analysis of the data.
- 5.2 In the following sections, the reference numbers used correspond to those used in the Recording Instrument so as to facilitate cross-reference to the two other Area Reports.

/...

1.4/1.5/1.7 Age, Type, and Size of Institutions

Institution	Date of Foundation	Student Numbers	Universities		Non-universities	
			Non-Specialist	Specialist	Non-Specialist	Specialist
Uppsala	1477	14813	x			
Edinburgh	1583	9850	x			
Trinity Coll. Dublin	1592	5245	x			
Oslo	1811	16120	x			
Tech. Univ. Copenhagen	1829	3609		x(Technology)		
RIT Stockholm	1877	4952		x(Technology)		
Leeds	1904	10114	x			
UC Cork	1908	4614	x			
Sussex	1961	4426	x			
Heriot-Watt	1966	3203	x			
Poly of C. London	1967	6950			x	
Trondheim	1968	8301	x			
Sheffield City Poly	1969	7190			x	
Tromsø	1979	1438	x			
Linköping	1970	7450	x			
NIHE Limerick	1972	1210				x(Technology)
Roskilde UC	1972	1540	x			

1.6 Academic Programme (% distribution of students)

Unless asterisked (*), the subjects indicated are taught to the highest level.

	Humanities	Soc. Sciences	Nat. Sciences	Engineering	Medical	Agri-culture	Other	100%
Technical Univ. Copenhagen		2*	20*	78				
Roskilde UC	11	69	20	-	-	-	-	
UC Cork	-	-	14	10	12	3		
Trinity College Dublin	28	14	26	7	15	-	10	
NIHE Limerick	6	49	9	36	-	-	-	
Oslo	25	35	16	-	9	-	15*	
Tromsø	16	15	22	-	22	-	25	
Trondheim	21	12	7	58	2	-	-	
Linköping	8*	34	7	31	4	-	16*	
RIT Stockholm								
Uppsala	24	43	11	2	9	-	11*	
Edinburgh	27	27	21	3	14	4	4	
Heriot-Watt	3	20	24	31	-	-	22	
Leeds	24	22	19	22	10	3	-	
Sussex	30	34	27	9	-	-	-	
Polytechnic of C London	18	48	4	19	1	-	10	
Sheffield City Polytechnic	36	33	15	12	4	-	-	
								100%

/...

1.8 FTE Staff

	Total Staff	Aca- demic	Non- Acad	% academic
Tech.Univ.Copenhagen	1398	677	721	48.4
Roskilde UC	346	163	183	47.1
UC Cork	771	287	484	37.2
Trinity Coll.Dublin	1270	390	880	30.7
NIHE Limerick	150	75	75	50.0
Oslo	3070	1624	1446	52.9
Tromsø	675	359	316	53.2
Trondheim	1843	992	851	53.8
Linköping	1500	1000	500	66.7
RIT Stockholm	2040	1240	800	60.8
Uppsala				
Edinburgh	4428	1550	2878	35.0
Heriot-Watt	1290	336	954	26.0
Leeds				
Sussex	2047	749	1298	36.6
Poly of C London	1099	646	453	58.8
Sheffield City Poly	1737	776	961	44.7
Average:				

1.9 Sources of Finance (% distribution)

	Govt. Nat. Budget	Local Govt. Budget	Research Grants	[Public; Private]		Student Fees	Other
Tech.Univ.Copenhagen	91	-	9	5.8	3.2	-	-
Roskilde UC	99	-	1	-	-	-	-
UC Cork	84	-	1	-	-	14	1
Trinity Coll.Dublin	79	-	6	-	-	13	2
NIHE Limerick	80	-	8	-	-	11	1
Oslo	81	-	18	14	4	-	1
Tromsø	92	-	8	7	1	-	-
Trondheim							
Linköping	88	-	12	10	2	-	-
RIT Stockholm	75	-	24	20	4	-	1
Uppsala	86	-	14	-	-	-	-
Edinburgh	67.3	1	11.2	7.7	3.5	15	5.5
Heriot-Watt	68.2	0.1	10.3	-	-	19.5	1.9
Leeds	66.8	0.1	9.4	-	-	19.3	4.4
Sussex	57.5	0.5	19.5	-	-	19.5	3
Poly of C London	-	77	1	-	-	21	1
Sheffield City Poly	-	73.9	0.8	-	-	16.6	8.7
Averages:	95	-	5	-	-	-	-
Denmark	81	-	5	-	-	13	1
Ireland							
Norway							
Sweden	83	-	16.7	-	-	-	0.3
UK-Univs.	65	0.4	12.6	-	-	18.3	3.7
-Polys.	-	75.5	0.9	-	-	18.8	4.8
Overall							

/...

1.10 Annual Operating Expenditure (% distribution)

	<u>Academic & Research Staff</u>	<u>Asst.Acad. & Research Staff</u>	<u>Other Staff</u>	<u>Total Staff</u>	<u>All other expenditure</u>
Tech.Univ.Copenhagen	32.2	6.4	26.9	65.5	34.5
Roskilde UC	38	3	31	72	28
UC Cork	34	2	26	62	38
Trinity Coll.Dublin	32	-	26	58	42
NIHE Limerick	35	-	24	59	41
Oslo	33	7	20	60	40
Tromsø	29	4	22	55	45
Trondheim					
Linköping	35	25	20	80	20
RIT Stockholm	36	18	24	78	22
Uppsala	37.5	12.5	25	75	27
Edinburgh	36	15	16	67	33
Heriot-Watt	36	-	30	66	34
Leeds	34.0	-	26.8	60.8	39.2
Sussex	36	11	22	69	31
Poly of C London	45	5	20	70	30
Sheffield City Poly	41	-	18	59	41

National Sample pattern:

Denmark	35.1	4.7	28.95	68.75	31.25
Ireland	33.7	0.7	25.3	59.7	40.3
Norway					
Sweden	36.2	18.5	23	77.7	22.3
U.K.	38	5.2	22.1	65.3	34.7

Note: percentage distributions must be interpreted in the light of diverse accounting policies, particularly in relation to expenditure on capital equipment and buildings and on research expenditure.

/...

2.1 & 2.3(c) Committee Structure

1. The charts appended to this paragraph (Charts A - F) are actual examples from six of the seventeen institutions studied and have not been modified to take the form of models of committee organisation. At least one chart has been included from each country within the Team's area.
2. Common factors across the Area as a whole, in addition to those which may be expected and are not commented on (e.g. the existence of budget committees, buildings committees etc. in each institution) include:
 - (1) the significant increase in the number of committees over the last ten-year period. Only one of 17 institutions reported a stable state, while nine reported a significant increase and seven a slight increase; the increase would appear to be attributable to:
 - (a) new legal requirements regarding staff consultation and negotiation often involving the development of new committee machinery;
 - (b) new legal requirements concerning safety and the working environment/milieu;
 - (c) the impact of the numerus clausus on open entry systems in which the student admission apparatus was previously minimal;
 - (d) proliferation of academic units resulting from the development and fragmentation of knowledge;
 - (e) the increased scale of institutions as a factor in itself.
 - (2) the comparative immunity to major change from within. In the majority of instances, major change during the period under study resulted from external sources (e.g. national legislation). In only one instance had major change resulted by internal initiative and agreement, although there are several instances of initiatives and innovations around existing or newly-legislated-for structures (e.g. Linköping);
 - (3) the survival of the faculty as an organisational unit, while its subsidiary units (traditionally, departments) have been subject to innovations (but see 3(3) below);
 - (4) the lack of correlation between size of institution and complexity of committee structure. Small institutions (except the very small and very new) do not have significantly simpler committee structures than do large institutions.
3. Common factors within identifiable groups of institutions include:
 - (1) the predominance of unitary governing body systems in the Scandinavian area, in contrast to the binary system within the U.K. and Ireland. While the Scandinavian institutions formally have one top level governing body (although the relationship between the governing body and any central academic body must be taken into account in this regard)

/...

the U.K. and Irish institutions have both a governing body generally responsible for all affairs and specifically responsible for financial/buildings matters and a supreme academic body not materially subject to governing body intrusion. In consequence, the subsidiary levels of the unitary system will tend to have clearer interrelationships while the binary system normally involves separate sub-structures under each of the two supreme bodies and thereby complex and largely unwritten interrelationships between the two substructures. This is not to say, of course, that the supreme level necessarily reflects its lower levels: these are examples of such reflection, but on the other hand there are examples both where the unitary structure is bifurcated at lower levels (e.g. in the Danish and Swedish systems) and where the binary structure is unified at the lower level (e.g. at Sussex and at N.I.H.E. Limerick).

- (2) materially related to the above, the existence or non-existence of national legislation on the structure of governance. While the three Scandanavian countries each have national acts specifying the details of such matters, neither the U.K. nor the Republic of Ireland have general legislation (i.e. the legislation is made in relation to each institution and not in relation to all institutions generally). Hence the greater variation amongst institutions in the U.K. or Ireland than amongst those in the three Scandanavian countries.
- (3) the move away from the embodiment of principle of the unity of teaching and research in the organisational structure; this is evident in the Danish and Swedish systems. Those systems now provide for separate supra-department structures for basic teaching on the one hand and research on the other.
- (4) the problem of identifying effectively an 'institution'. Without embarking on the enormous task of defining an institution, one may note the need to consider the problem of institutional boundaries. Specifically, we consider University College, Cork as one institution although it is technically, through the Senate of the National University of Ireland, only one constituent of a larger institution; on the other hand, the University of Trondheim in many respects is effectively a construct of four substantial units, three of which could certainly be regarded as institutions in themselves.

4. Amongst the common factors within each country may be mentioned:

(1) in Denmark:

- the common basis of the four -tier structure resulting from the national legislation
- the unitary supreme body
- the bifurcation into faculty/institute councils (responsible for provision of teaching and research) and study boards (responsible for determining curriculum and examinations)
- the co-operation committee, established by national legislation, for employer/employee relations

/...

(2) in the Republic of Ireland:

- the binary system of Governing Body and Academic Board (or Council)

(3) in Norway:

- the common basis of the four-tier structure resulting from national legislation
- the unitary supreme body, as in Denmark, but with a steering committee/executive board
- the traditional faculty/department structure
- the welfare and milieu committee, established by national legislation

(4) in Sweden:

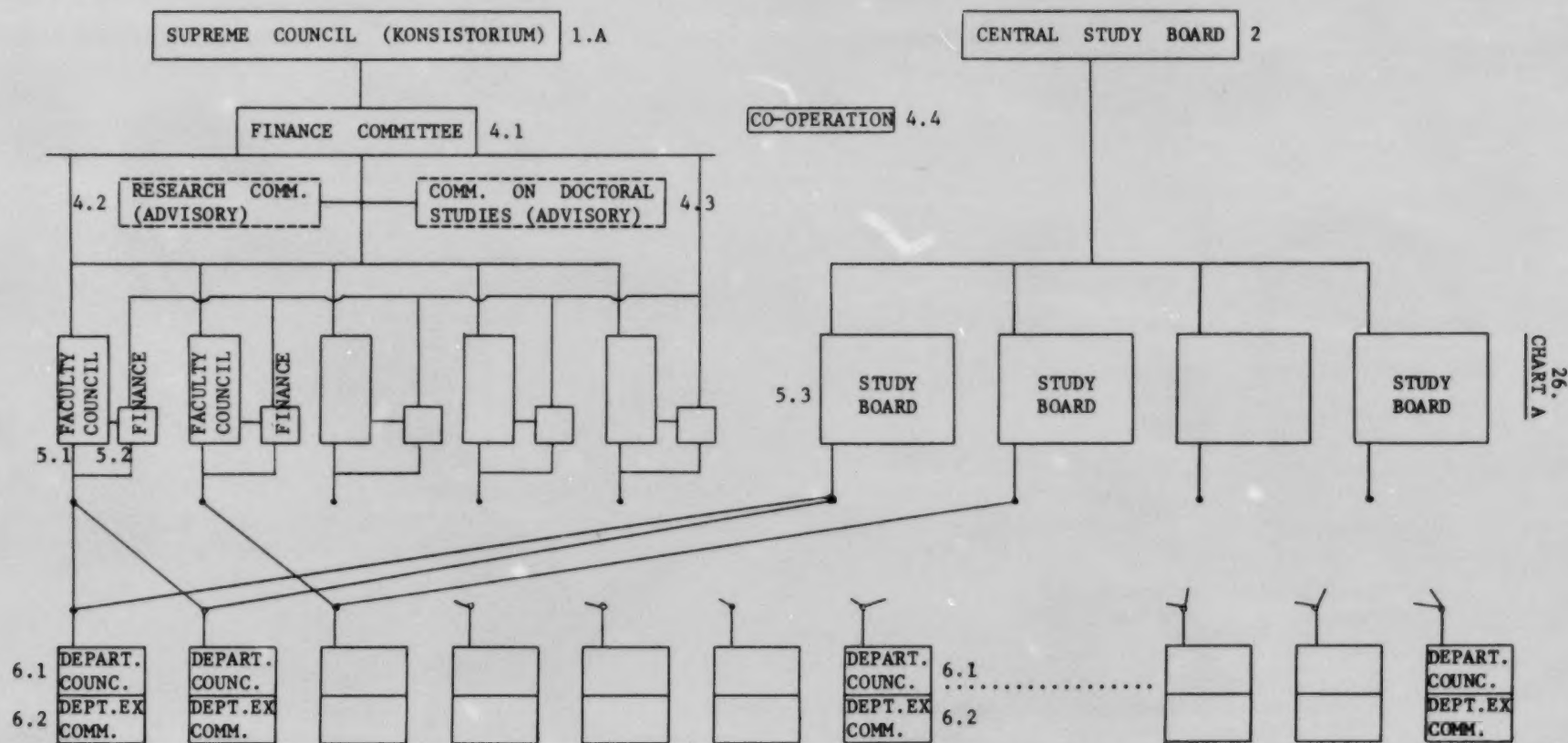
- the common basis of the three-tier structure resulting from national legislation
- the unitary supreme body, with its statutory executive organ, the Rector's Office
- the bifurcation above departments into faculties (responsible for postgraduate education and research) and programme committees (responsible for undergraduate education).
- the welfare and milieu committee (as in Norway)

(5) in the United Kingdom:

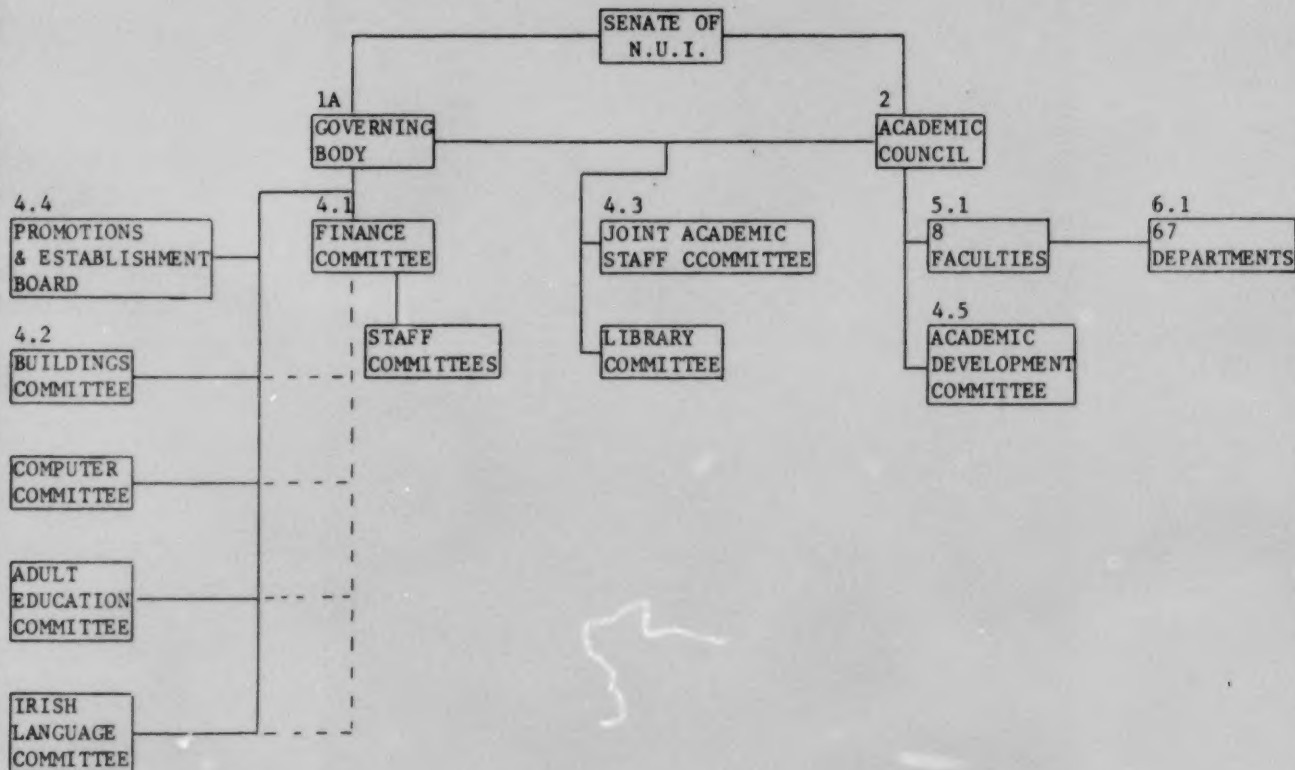
- the binary system of Governing Body (Council or Court) and Senate (or Academic Board)
- the academic validation framework common to polytechnics but absent from the self-validating universities
- the tendency to have committees with the character of 'annual general meetings' (ID-type) (Court or General Council)
- the network of non-academic services committees (e.g. on catering, student accommodation) which is more extensive than elsewhere, where those functions are not functions of the institution.

5. As a final remark, the Area Team would draw attention to the further analysis which could valuably be undertaken on the bases of the information presented. In particular, the principles and policies underlying university government in the various countries might be examined in relation to the actual committee structures and compositions operating in institutions generally. A comparative study might be carried out on the reciprocal effects of principles and structures, but, in view of the time available to the project, that analysis will have to belong to the future.

/...



Note: The Co-operation Committee is not a part of the ordinary organisation. It is related to Rector's Office and has advisory status.



TRONDHEIM

MINISTRY
OF CHURCH
& EDUCATION

CO-ORDINATING
CTTEES

BUDGET &
PLANNING

COURSE
COMMITTEE

1A
BOARD

COLLEGE OF ARTS
AND SCIENCES
3.1 COUNCIL

NATIONAL INSTITUTE
OF TECHNOLOGY
3.2 COUNCIL
3.3 BOARD

3.4 MUSEUM
SENATE

4.1 BUDGET — CO-OPERATION
4.2 STUDIES — EXTERNAL RELATIONS
4.3 STAFF — WELFARE & SAFETY

4.4 BUDGET — STAFF 4.7
4.5 PLANNING — CO-OPERATION
4.6 EDUCATIONAL — EXTERNAL RELATIONS
— WELFARE & SAFETY

5.1 13 FACULTY COUNCILS
5.2 3 FACULTY BOARDS
— BUDGET
— STUDIES

5.3 8 FACULTY COUNCILS
5.4 8 FACULTY BOARDS

5.5 3 DIVISIONS

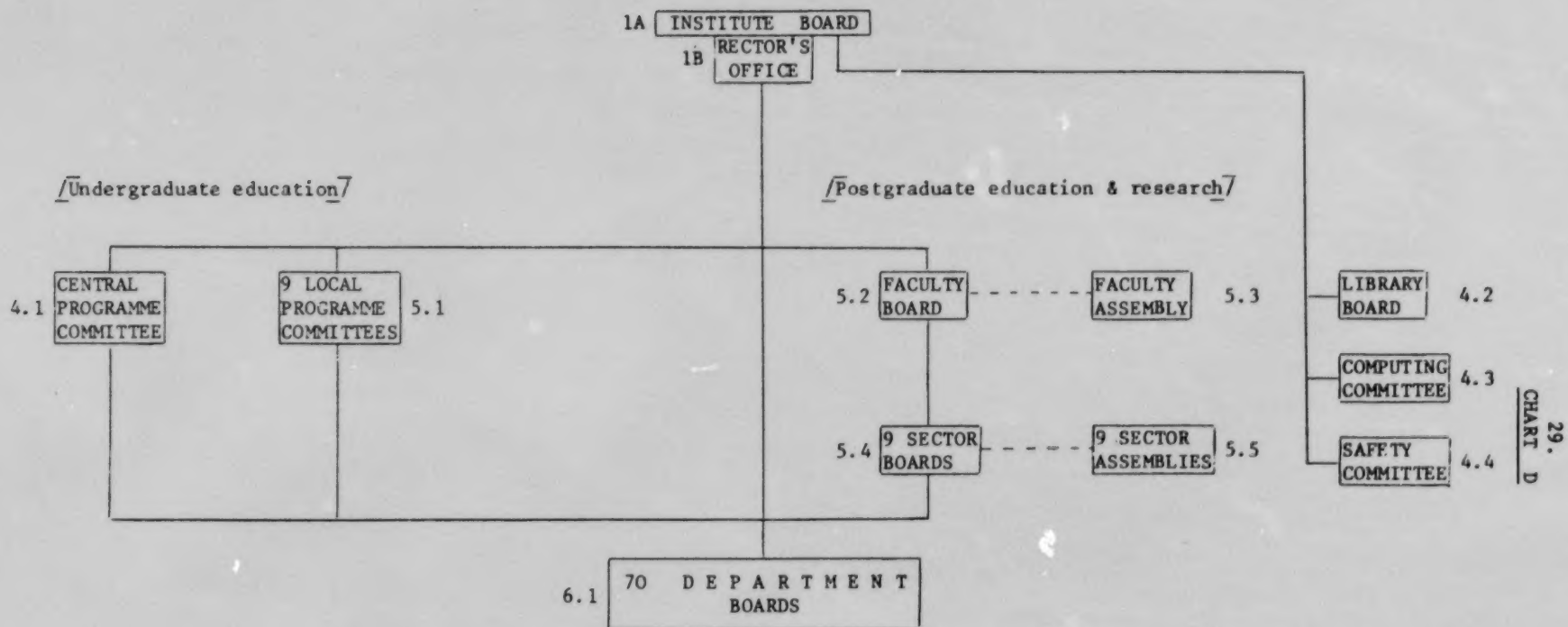
5.6 MEDICAL SCHOOL

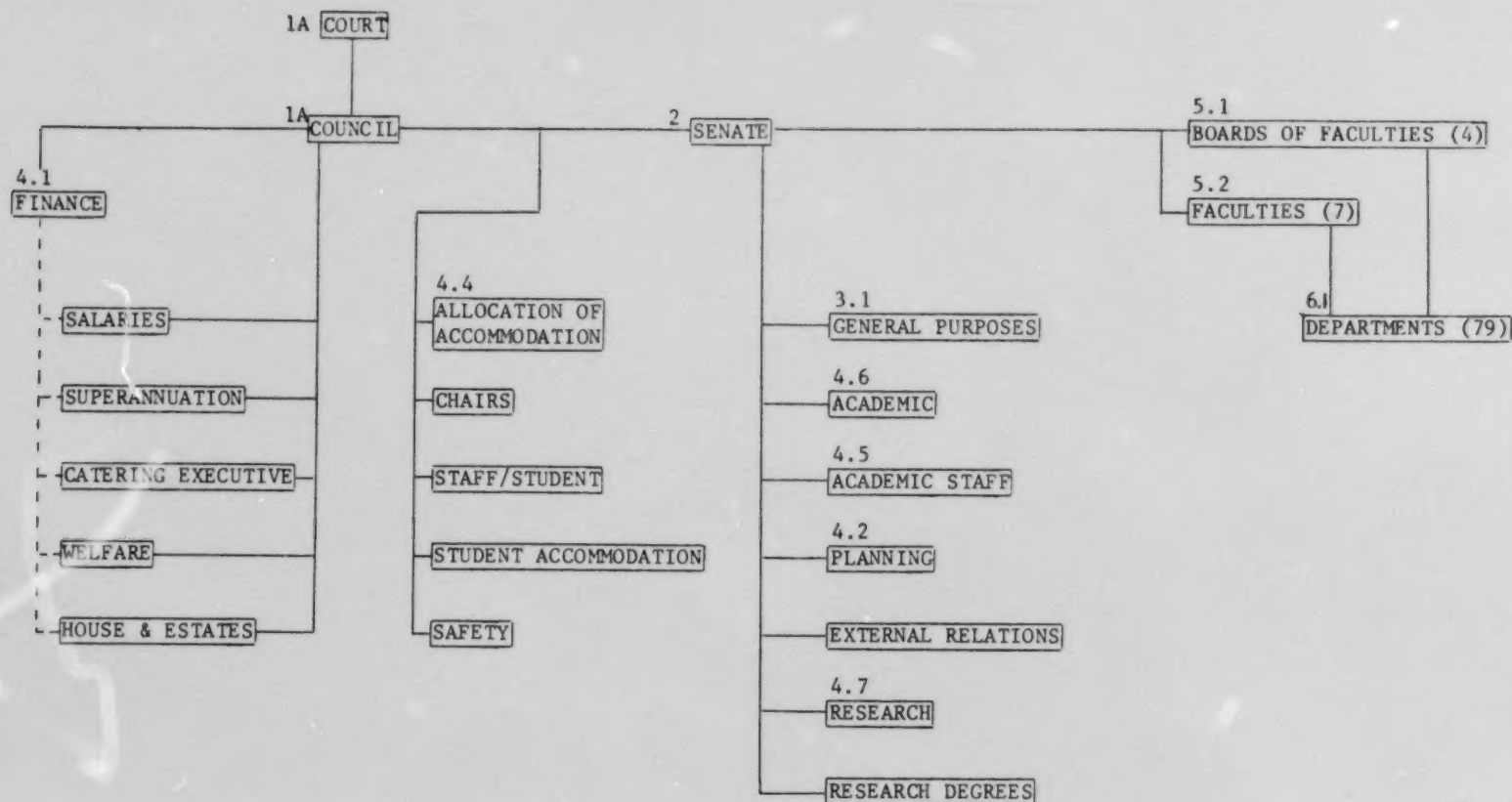
6.1 22 DEPARTMENT COUNCILS
DEPARTMENT BOARD (IF ANY)
DEPARTMENT BUDGET
(IF ANY)

6.2 80 DEPARTMENTS

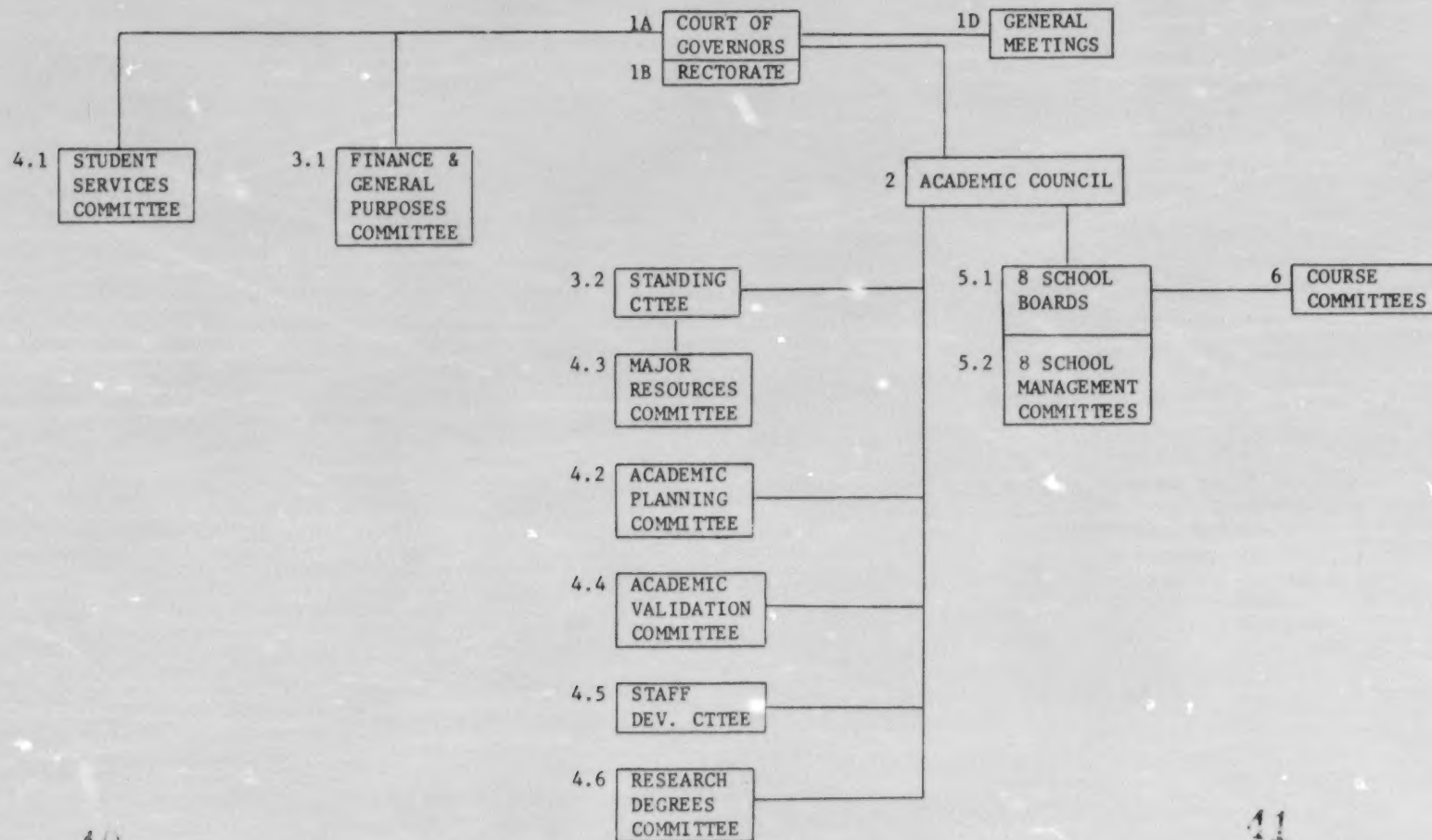
6.3 DEPARTMENTS

28.
CHART C





POLYTECHNIC OF CENTRAL LONDON



31.
CHART F

2.2 & 2.3(a) & (b) Composition of Committees

Composition Committees	% Distribution of Members by Categories											Total Mem- bers	Chairmen	Annual mtg. Fre- quency	Length of Service			% Elected
	a	b	c	d	e	f	g	h	i	j	k				0-2yrs	2-5yrs	5+yrs	
Tech.Univ. Copenhagen 1.				8	25	25		< 42	>			24	Ex-officio	12	25	75	-	100
2.					50			< 50	>			12	Elected	10-14	100	-	-	100
3.				12.5	25	25		< 37.5	>			8	Ex-officio	28	100	-	-	100
4.					25	25		< 50	>			24	Elected	9	25	75	-	100
5.				100								18	Ex-officio	6	-	100	-	100
Roskilde UC 1.				8	25	25		< 42	>			24	Ex-officio	12	25	75	-	100
2.				12.5	25	25		< 37.5	>			8	Ex-officio	15-20	83	17	-	100
3.				50							50	15	Ex-officio	10-12	75	25	-	50
4.					25	25		< 50	>			18-40	Elected	15-20	41	45	14	50
5.					50			< 50	>			4-8	Elected	4-12	100	-	-	100
Danish Sample				19.1	25	15		< 35.9	>		5	/	/	13	57.4	41.2	1.4	90

Notes: 1. Representative committees have been selected for purposes of illustration from amongst the data collected on approx.250 committees in the Area.

2. The numbers refer to the five key committees selected in response to Question 2.3

3. The categories of membership are:

(a) External Members - appointed by National/Federation Government.

(b) External Members - appointed by Local/State Government.

- (c) External Members - appointed from public life (research councils professions, industry, trade unions churches etc.)
- (d) Internal Members - ex-officio places for senior officers or appointees of senior bodies.
- (e) Internal Members - appointed from amongst the students.
- (f) Internal Members - appointed from non-academic staff (e.g. technical administrators and auxiliary staff).
- (g) Internal Members - academic staff appointed as representatives of organisational units.
- (h) Internal Members - professorial academic staff appointed as representatives of academic staff.
- (i) Internal Members - non-professorial staff appointed as representatives of academic staff.
- (j) Internal Members - elected 'at large'.
- (k) Other members.
- (l) Total.

Composition		Z Distribution of Members by Categories											Total Members		Annual mtg. Fre-quency	Length of Service			Z Elected
Committees		a	b	c	d	e	f	g	h	i	j	k		Chairman		0-2yrs	2-5yrs	5+yrs	
UC Cork	1.	11	29	14	4				21			21	28	Ex-officio	9				43
	2.				2				82	16			62	Ex-officio	10				0
	3.			29	14				57				7	Ex-officio	11				0
	4.			22	45				33				9	Ex-officio	6				0
	5.				100								8	Ex-officio	7				0
Trinity Coll. Dublin	1.				28				11			61	18	Ex-officio	15				33
	2.				27			66				7	29	Ex-officio	15				
	3.				59			41					17	Ex-officio					
	4.				40				< 40	>		20	10	Ex-officio					
	5.				100								9	Ex-officio					
NIHE Limerick	1.	36			12	8	8		< 8	>		28	25	Elected	6		100		20
	2.				10.5	10.5		37	< 42	>			19	Ex-officio	6		100		53
	3.				40			60					10	Ex-officio	30				0
	4.												11	Appointed	10	100	100		0
	5.												5-15	Appointed	10		100		0
Irish Sample													/	/					

Composition		% Distribution of Members by Categories											Total Members	Chairman	Annual mtg. Frequency	Length of Service			% Elected
Committees		a	b	c	d	e	f	g	h	i	j	k				0-2yrs	2-5yrs	5+yrs	
Oslo	1.				9	21	12	21	<	37	>		33	Ex-officio	6	21	79		100
	2.				11	22	11	56					9	Ex-officio	15-20	22	78		100
	3.				8	17	17	53					12	Ex-officio	8	100			100
	4.					20	10		<	70	>		17-50	Elected	8	20	80		100
	5.					20	10		<	70	>		20-30	Elected	8	40	60		100
Tromsø	1.		10		2	29	15	36			8		59	Ex-officio	4	85	15		88
	2.				8	23	15	54					13	Ex-officio	15-20	92	8		92
	3.					20						80	15	Elected	8	54	46		100
	4.					33						67	15	Elected	10-15	93	7		100
	5.				50							50	4	Ex-officio	10	67	33		50
Trondheim	1.					22	22	34	<	22	>		9	Appointed	10-12	22	45	33	67
	2.				14	22	14	50					14	Ex-officio	15-20	29	64	7	57
	3.				14	14	7	58			7		14	Ex-officio		21	72	7	29
	4.				20	20		60					5	Ex-officio	15-20	20	60	20	20
	5.				100								3	Appointed			100		0
Norwegian Sample			0.7		15.8	18.9	8.7	28.5	<	14.3	>	13.1				45.7	49.8	4.5	73.5

Composition		% Distribution of Members by Categories											Total Members		Annual mtg. Fre-quency	Length of Service			% Elected
Committees		a	b	c	d	e	f	g	h	i	j	k		Chairman		0-2yrs	2-5yrs	5+yrs	
Linköping	1.			33	11	17	17		22				18	Ex-officio	7		100		67
	2.			31.5		31.5	5.5		31.5				19	Appointed	7		100		67
	3.			31		31	7		31				16	Appointed	8		100		67
	4.				18	18	18		28	18			11	Ex-officio	7		100		100
	5.					34	22		22	22			9	Ex-officio	8		100		100
RIT Stockholm	1.			33	11	17	17		< 22		>		18	Ex-officio	8		100		60
	2.				18	18	18		28	18			11	Ex-officio	9		100		100
	3.				8	42	17		< 33		>		12	Ex-officio			100		70
	4.				18	18	18		< 46		>		11	Ex-officio			100		100
	5.					45	10		< 45		>		11	Ex-officio			100		100
Uppsala	1.			33	11	17	17		22				18	Ex-officio	10		100		60
	2.				18	18	18		46				11	Ex-officio	10		100		100
	3.			31		31	7		< 31		>		13	Appointed	10		100		70
	4.					45	10		< 45		>		11	Ex-officio	10		100		100
	5.				58	14	14		14				7	Ex-officio	11		100		43
Swedish Sample				12.8	11.4	26.4	14.4		< 35.0		>						100		80.3

Composition		Z Distribution of Members by Categories											Total Mem- bers	Chairman	Annual mtg. Fre- quency	Length of Service			Z Elected
Committees		a	b	c	d	e	f	g	h	i	j	k				0-2yrs	2-5yrs	5+yrs	
Edinburgh	1.	9	13	17	13	5				26		17	23	Ex-officio	7	5	79	16	54
	2.				0.3		0.7	14	57	28			265	Ex-officio	6	36	18	46	27
	3.				76							24	25	Ex-officio	8	48	52		68
	4.				100								10	Appointed	7	20	50	30	0
	5.		5	67	5							23	18	Elected	3	62	9	29	42
Heriot-Watt	1.	4	26	29	4				18	15		4	27	Elected	6	26	52	22	25
	2.				7.5			60	7.5	25			40	Ex-officio	6	13	42	45	25
	3.				50			50					8	Ex-officio	9	25	50	25	0
	4.		38	23					31	8			13	Ex-officio	6	46	54	-	0
	5.												13		6	38	62	-	0
Leeds	1.				2	5		60	9	23		1	146	Ex-officio	8				
	2.	1	17	35	6	12		17	6	1	5		76	Elected	8				
	3.														12				
	4.														3				
	5.														6				
Sussex	1.	32.5	30	15				12.5	5	5			40	Elected	4	8	18	74	37.5
	2.				11	12		6	34	37			169	Ex-officio	5	1	50	49	35
	3.			16	16	9		41	9	9			32	Ex-officio	6	22	37	41	19
	4.				100								11	Ex-officio	3	0	64	36	0
	5.				11			89					22-3	Ex-officio	6	11	82	7	36

Composition Committees	Z Distribution of Members by Categories											Total Mem- bers	Chairman	Annual mtg. Fre- quency	Length of Service			Z Elected
	a	b	c	d	e	f	g	h	i	j	k				0-2yrs	2-5yrs	5+yrs	
Poly of C London	1.			31	8		61					13	Ex-officio	7				33
	2.			17	8		67		8			12	Ex-officio	7				100
	3.			65			35					17	Ex-officio	7				50
	4.			11			89					9	Ex-officio	6				0
	5.			28	6			11	55			18	Ex-officio	9				0
Sheffield City Poly	1.	30	30	2	9	7		< 15	>		7	46	Elected	4		100		30
	2.			5	20		30	< 37.5	>		7.5	40	Ex-officio	5		100		67
	3.			53	6		41					17	Ex-officio	5		100		6
	4.			35	15		15	< 27.5	>		7.5	37-41	Ex-officio	7		100		57
	5.			100								14	Ex-officio	4		100		0
U.K. Sample														6.2				
National Comparison																		
Denmark																		
Ireland																		
Norway																		
Sweden																		
U.K.																		
53																		51

2.4 Officer Structure

1. The charts appended to this paragraph (Charts G - L) are actual examples from six of the seventeen institutions studied and have not been modified to take the form of models. At least one chart has been included from each country within the Team's area.
2. Despite the apparent degree of similarity between the various charts (which is of course partly attributable to the influence of the model provided in the Recording Instrument), there are many detailed differences between institutions and between national systems or traditions. The main common factors are enumerated below.
3. Common points across the Area as a whole are:
 - (1) each institution has one executive head, although his predominance is qualified not just by the governing bodies with which he must work but in some cases also by relationships with, for example:
 - (a) in the U.K., the lay Chairman of Council (Court) (i.e. the executive head is not chairman of the governing body, as he is in Denmark and Sweden and is normally in Norway and Ireland);
 - (b) in the Scandinavian countries, the permanent head of the Administration. The executive headship is an elective office constrained particularly by the term of office, which may be as short as three years (Denmark) or two or three years (Norway). (Sweden has a term of six years, renewable.) In fact, in one country (Sweden), the Rector and the Head of Administration form together a legal unit ("Rector's Office") which has specified joint responsibilities e.g. for the Administration;
 - (c) in Sweden and certain other individual institutions, the Government which formally approves his appointment and may therefore be involved in removing him from office.
 - (2) each institution (with the exception of one new and small institution) provides for at least one deputy to the executive head (Pro-Rector, Pro-Vice-Chancellor, Vice-Principal etc.), and in most cases where there are more than one such deputies designates which shall be the formal deputy (e.g. Senior Pro-Rector).
 - (3) the office of Dean is an important role in at least thirteen of the institutions with a similar, if differently titled, role in another three institutions (e.g. "Chairman of Faculty");
 - (4) the predominance of the elective method of obtaining Deans and Heads/Chairmen of Departments.
4. This question also invited respondents to name the five main changes, in their opinion, in the officer structure since 1968. The answers given were very varied in specificity, but the main trends to which they pointed were clear enough:
 - (1) increased scale and complexity of the institution. The factors mentioned here were: the creation of new senior officerships such

/...

as Assistant Principals, Pro-Vice-Chancellors etc. (six institutions); the enhanced role of and increased burdens upon existing officers, particularly Pro-Rectors and Deans, to whom greater delegation of powers had often been granted (five institutions). (One institution mentioned a diminution of the power of the Pro-Rector, but only as a result of the strengthening of the appointment of the Rector); the creation of new officerships to deal with the social services aspects of University activity (two institutions).

- (2) related to (1), the signs of re-adjustment of the professional administration following its emergence during the late 1960s. Such re-adjustments mainly involved the determination of a more balanced administration through the increase or decrease in the number of administrative divisions/officers to between two and four (six institutions).
- (3) adjustments to institutional autonomy. Although the main developments towards or (mostly) away from institutional autonomy are apparent elsewhere in this report, they are apparent here through: appointments becoming government appointments whereas previously they were in the institution's control (e.g. the Rectorship in all the Swedish institutions); and in the increased influence of lay/external officers (at least two U.K. institutions).
- (4) "democratisation". This is apparent in: the general move away from appointed officerships (the ex-officio principle) to elective officerships (four institutions mentioned this specifically, although it was evident in many others); the extension of the eligibility for holding office, normally involving the abolition of the requirements that Deans and/or Heads of Department should be professors (eight institutions); and the extension of the electorate for certain senior officerships (two institutions, although this trend is present but invisible in other institutions which have adjusted the composition of committees which elect certain officers, e.g. Deans).
- (5) idiosyncratic. Seven institutions mentioned changes which may be considered peculiar to the one institution alone and not directly related to the factors in (1) - (4) above.

/...

RECTOR

1. Elected by members of Faculty Councils and Supreme Council.
2. 3 years renewable
3. Supreme Council
4. 1.0

CHAIRMEN OF FACULTIES

1. Elected by Faculty Board
2. 1 year renewable
3. Faculty Board
4. 0

PRO-RECTOR

1. (As for Rector)
2. 2 years renewable
3. Rector
4. Negotiable up to 1.0

HEAD OF ADMINISTRATION

1. Crown on recommendation of Supreme Council
2. Permanent
3. Rector
4. N/A

CHAIRMEN OF DEPARTMENTAL COUNCILS

1. Elected by Departmental Council
2. 1 year renewable
3. Departmental Council
4. 0

OTHER ADMINISTRATIVE OFFICERS

1. Rector & Head of Administration
2. Permanent
3. Head of Administration
4. N/A

41.
CHART G

TRINITY COLLEGE, DUBLIN

PROVOST

1. Government on proposal of College
2. 10 years
3. Board
4. N/A

ANNUAL OFFICERS

(Vice-Provost, Bursar, Registrar,
Senior Lecturer, Proctors, Senior
Dean, Junior Dean, Senior Tutor,
Registrar of Chambers)

1. Elected by Board from amongst
Fellows
2. 1 year, renewable
3. Provost
4. O*

DEANS

1. University Council on nomination of
Provost
2. 3 years renewable for 3 years
3. Provost
4. O*

HEADS OF DEPARTMENTS

1. Ex-officio appointments (or rotating
(with no fixed term))
2. Life (or no fixed term)
3. Provost
4. O*

CHIEF ADMINISTRATIVE OFFICERS
(Secretary, Treasurer, Agent)

1. Board
2. Age 70
3. Provost
4. N/A

*Remission not given formally but certain arrangements can be made (e.g. research staff support).

RECTOR

1. Elected by Senate
2. 4 years
3. Senate
4. 1.0

DEANS OF FACULTIES

1. Elected by Faculty Council
2. 3 years
3. Faculty Council
4. 0.4

PRO-RECTOR

1. Elected by Senate
2. 4 years
3. Senate
4. 1.0

DIRECTOR

1. Crown
2. Permanent
3. Senate and Ministry
4. N/A

CHAIRMEN OF DEPARTMENTS

1. Elected by Department
2. 1 or 2 years
3. Department
4. 0.4

HEADS OF SERVICES

- (e.g. Directors of Library, Computing Centre)
1. Crown on recommendation of Senate
 2. Permanent
 3. Director
 4. N/A

OTHER ADMIN OFFICERS

1. Ministry (Assistant Director) or Senate
2. Permanent
3. Director
4. N/A

UNIVERSITY OF LINKÖPING

RECTOR

1. Government after elective nomination
2. 6 years, renewable
3. University Board
4. 1.0

DEANS OF FACULTIES

1. Elected by Faculty Council
2. 3 years
3. Faculty Council and Board
4. 0 - 1.0

PRO-RECTOR

1. University Board after elective nomination
2. 6 years
3. University Board
4. 1.0

HEAD OF ADMINISTRATION

1. Government on proposal of University Board
2. Permanent
3. University Board
4. N/A

CHAIRMEN OF PLANNING COMMISSIONS
AND STUDY PROGRAMME COMMITTEES

1. University Board on proposal of Commission/Committee
2. 3 years
3. University Board
4. 0 - 1.0

CHIEF LIBRARIAN etc.

1. Government on proposal of University Board
2. Permanent
3. University Board
4. N/A

HEADS OF ADMINISTRATIVE DIVISIONS

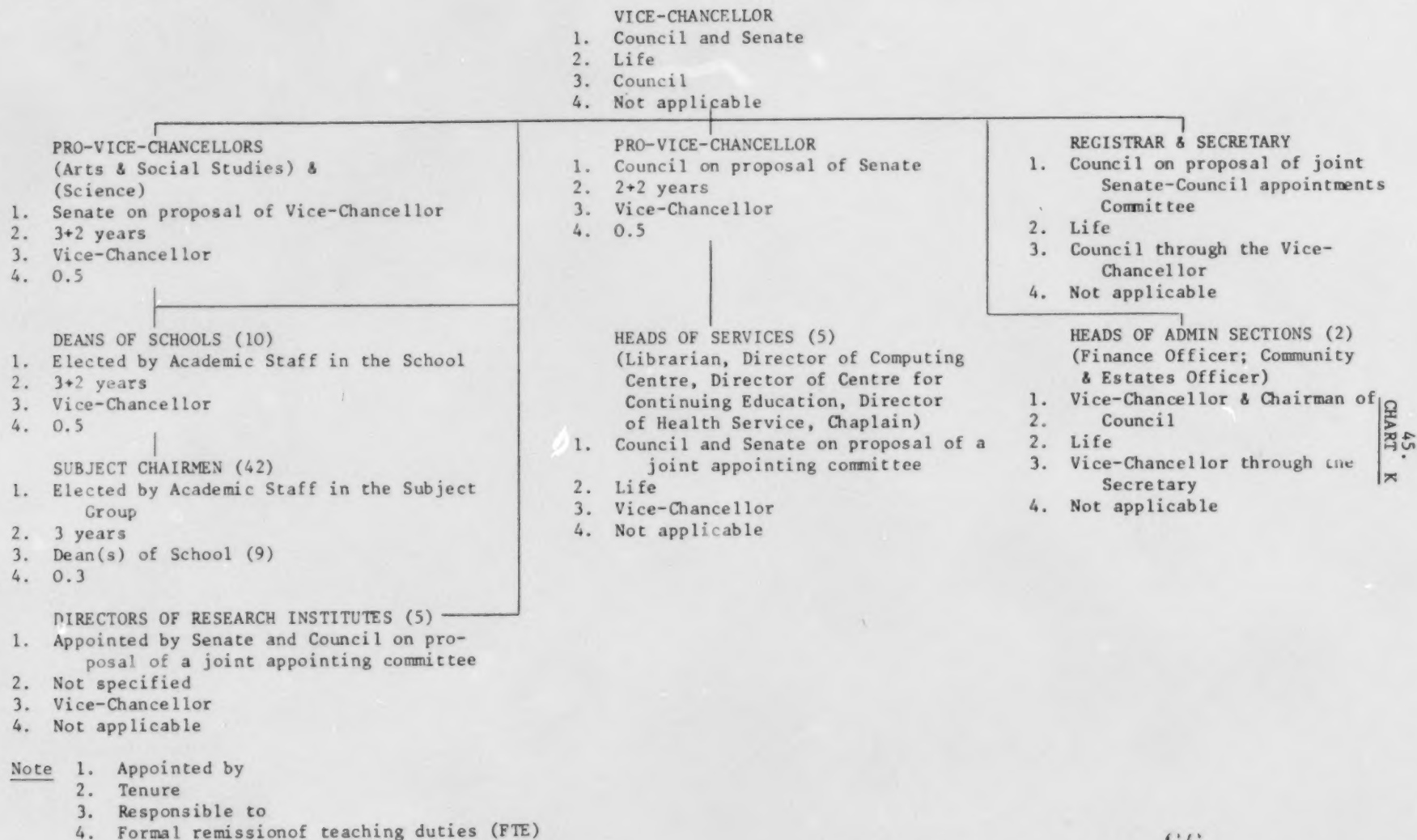
1. Government on proposal of University Board
2. Permanent
3. Head of Administration
4. N/A

CHAIRMEN OF DEPARTMENTAL BOARD

1. University Board
2. 3 years
3. University Board
4. 0 - 1.0

CHART J
44.

UNIVERSITY OF SUSSEX



45.
CHART K

PRINCIPAL

1. Governing Body, subject to LEA Confirmation
2. Permanent
3. Governing Body
4. N/A

DEANS OF FACULTIES (7)

1. *Management Review Group after consultations*
2. 3 years, renewable for 3 years
3. *Academic Board and Principal*
4. 0-1.0

DEPUTY PRINCIPAL

1. Governing Body, subject to LEA confirmation
2. Permanent
3. Governing Body
4. N/A

SECRETARY AND CLERK TO THE GOVERNING BODY

1. Governing Body, subject to LEA confirmation
2. Permanent
3. Governing Body
4. N/A

HEADS OF DEPARTMENTS (35)

1. Governing Body
2. Permanent
3. Principal
4. 0-1.0

ASSISTANT PRINCIPALS (3)

1. Governing Body
2. Permanent
3. Governing Body
4. N/A

REGISTRAR; CHIEF FINANCE OFFICER

1. Governing Body
2. Permanent
3. Governing Body
4. N/A

HEADS OF SERVICES

(e.g. Librarian, Head of Computer Services)

1. Governing Body
2. Permanent
3. Governing Body
4. N/A

2.5 Associations and Unions1. (a) Trade Unions

	Number of Trade Unions	Membership			Type of Association										Representation							
		Inc	Stable	Dec	1968*					1978					1968*				1978			
					1	2	3	4	5	1	2	3	4	5	A	B	C	D	A	B	C	D
Technical University Copenhagen	8		8			3	5				3	5			8				8			
Roskilde UC (1972)	7		7			3	4				3	4			7				7			
UC Cork	4	4										4									4	
Trinity College Dublin	9	4	3	2	4	1	1			5	1	3			4	2			2	6	1	
NIHE Limerick (1972)	1	1										1							1			
Oslo	4	4					4					4			4				4			
Tromsø (1972)	5	5				1	4			1	4			5				5				
Trondheim	7	7				2	5				7				7				7			
Linköping (1970)	3	3					3				3				3				3			
RIT Stockholm	4	4					4				4						4	4				
Uppsala	3	3					3				3						3	3				
Edinburgh	5	5				1		4			5						5	5				
Heriot-Watt	5	5					3				5					2		1	3	1		
Leeds	5	2	3				1		4		5					1	4	5				
Sussex	5	2	3			1					5						5	5				
Poly of Central London	5	3	2			4					5						5				5	
Sheffield City Poly	8	8				1	6				1	7					7	7	1			
	88	60	26	2	4	17	43	4	4	5	14	69	-	-	8	30	3	35	17	56	9	6

- Key:
1. An internal association with no external connections.
 2. An internal branch of the national professional association.
 3. An internal branch of a national trade union.
 4. A national trade union or association without local representation.
 5. No formal association.
 - A Represented on University decision-taking bodies as full members (participation)
 - B Members of University committees set up specially for negotiation between the University authorities and categories of personnel (negotiation)
 - C Members or observers on University bodies for purposes only of consultation (consultative)
 - D No representation.

*or earlier year if appropriate (and indicated against institution)

/...

Comments:

1. Four institutions mention an informal committee or meetings of local trade unions for liaison purposes.
2. Two institutions mention close trade union/students' union liaison.
3. Several institutions mention the overriding consideration of the extensive employee or trade union membership of committees in the institution.
4. The number of unions per institution varied from 1 to 9 with little relationship to size of the institution; the average number being 5.
5. In regard to the direction of movement in memberships the overall picture is:

Increasing memberships 68%
 Stable memberships 30%
 Declining memberships 2%

6. In regard to the type of union or association, categories 1 (local with no external connection), 4 (national without local branch) and 5 (no formal association) were negligible with the vast majority being in categories 2 (internal branch of a national professional association) and 3 (internal branch of a national trade union). Over time two shifts are evident.

(a) a movement towards categories 2 and 3 i.e. an increase from 88% to 95% of the total;

(b) a shift from category 2 to 3 i.e. an increase in category 3 from 60% to 78%.

7. In regard to representation in the organisational structure the main trends are clear:

(a) a decrease in the unions not represented from 46% of the total to 7%;

(b) significant increases in all forms of representation

A Full members of University Committees 112 % increase

B Members of special 'negotiation' or 'employee relations' committees 87 % increase

C Observers on Committees 200 % increase

(c) the dominance of category B i.e. an increase from 39% of the total to 64%.

2. Students' Unions

The responses concerning Students' Unions reveal a large measure of uniformity, and may be summarised as follows:

/...

- (i) all seventeen institutions have one students' union or association;
- (ii) in all seventeen institutions the membership was stable, given that membership is compulsory in all cases;
- (iii) in terms of the types of associations:
 - in 1968 (or equivalent), 12 were internal branches of a national trade union and 5 were independent internal associations;
 - in 1978, 14 were internal branches of a national trade union and 3 were independent internal associations;
- (iv) in terms of their student representation:
 - in 1968, 7 had full member representation, 2 had observer status, and 8 had no representation;
 - in 1978, 14 had full member representation, 2 had observer status, and one had no representation.

It must be noted, however, that student representation is not in all cases determined by or through the students' union, but is in certain cases governed by direct election by the whole student body.

/...

3.1(a) Decision Analysis

The Institutions were asked about how twenty standard decisions were normally dealt with. The following summarises one aspect of the responses in relation to four of those decisions. The columns refer to the questions as to where the formal authority lies, where is the effective decision usually taken, how many bodies are involved in elaborating the proposal and how many others are normally consulted prior to the decision. The numbers in the columns relate to the levels of bodies dealt with in 4.10 above (ie. 1 = Governing Body 2 = Supreme Academic Body 3 = Generalist Committee 4 = Specialist Committee 5 = Faculty 6 = Department or Unit) and an asterisk indicates that the role is performed by an individual officer at that level rather than by a committee. N.B. The data relates to the decision-making responsibility within the institution; the final decision may rest with an external body.

	3. Acceptance of a research grant				4. Change in teaching methods			
	Formal	Effective	Proposition	Consultation	Formal	Effective	Proposition	Consultation
Technical University Copenhagen	6	6	1	1	5	5	1	1
Roskilde UC	6	6	1	2	4 or 6	6	1	-
UC Cork	6*	6*	1	-	6*	6*	1	1
Trinity College Dublin	6*	6*	1	1	6*	6*	1	-
NIHE Limerick	6*	6*	1	-	2	6*	1	1-3
Oslo	6*	6*	1	1	6	6	1	2-6
Tromsø	6*	6*	1	1	5	5	1	1
Trondheim	6*	6*	1	-	1	3	1	2-4
Linköping	1	6*	1	-	5	6	1-2	-
RIT Stockholm	5	5	2	-	5	5	1	1-6
Uppsala	1	6	1	-	5	5	1	1-6
Edinburgh	1	6*	1	-	5	6	1	-
Heriot-Watt	4	6*	1	-	2	5	1	2-6
Leeds	1	1*	1	-	6	6	1	1-3
Sussex	1	5*	3	0-5	2	5	3	1-12
Polytechnic of C. London	5	5	1	-	5	5	1	-
Sheffield City Polytechnic	1*	6*	1	1	2	4	1	2-5
Average:			1	0			1	1-3

	14. Transfer from consumables to clerical post				20. Granting a professor leave of absence			
	Formal	Effective	Proposition	Consultation	Formal	Effective	Proposition	Consultation
Technical University Copenhagen	← Not possible →			-	5	5	1	0-10
Roskilde UC	← Not possible →				6	6	1	1
UC Cork	← Not possible →				1	1*	1	1
Trinity College Dublin	← Not possible →				2	6	2	-
NIHE Limerick	← Not possible →				2	3	1	-
Oslo	← Not possible →				1	5	1	1-4
Tromsø	← Not possible →				1	3	2	6
Trondheim	← Not possible →				1	4	1	1-5
Linköping	6	6	1	-	1	1*	1-2	-
RIT Stockholm	6	6	1	-	1	5	1	-
Uppsala	6	6	1	-	1	5	1	-
Edinburgh	4	5	1	1	4	4	2	0-4
Heriot-Watt	1	4	1	-	1	1*	1	-
Leeds	2	4	2	1-4	2	4	2	-
Sussex	5	2*	3	-	1 & 2	5*	2	0-8
Polytechnic of C. London	1	1*	1	-	2	4	1	-
Sheffield City Polytechnic	1	4	1	1	1	4	1	2
			14	3-7			22-23	12-41

51.

Comments

1. No major differences within national boundaries except in UK.
2. Number of bodies directly involved is reasonably constant across the whole Area and doesn't vary much by type of decision i.e. on average only 2-3 bodies are involved in the formulation and approval of a decision.
3. The number of bodies consulted is more varied by both institution and type of decision, and is generally much harder to predict since it often depends upon the timing and content of a particular proposition.
4. The vast majority of acts in the process of decision-taking remain with committees rather than with individual officers.

5. The information yielded by this question gives much scope for analysis which is not attempted here. For example, one can observe:

- (1) on decision 3 : the range in the levels of formal responsibility and the unity or diversity of national patterns;
- (2) on decisions 14 and 20 : the widest possible range of decision location between impossibility and departmental level;
- (3) on decision 14 : the diversity of response amongst U.K. universities.

3.2 Internal Decentralisation

(1) Responses	1.Alloc. of Posts to Faculties				2.Alloc. of Posts to Departments				3. Appt. to teaching post				4.Distc. of Sci. ence consumables monies				5.Change of curriculum				6.Intro of new discip.				7.Virement salaries-materials				8.Acceptance of research grant				9. Transfer of lab. usage				
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
Tech.Univ.Copenhagen	A		D	D	A		D	D				A	D			B	C	D		B	C	D		A	D	D	D	N/A									
Roskilde (No Level 3)	N/A				D	A		D				A				D	A		D		B		C		N/A						A			B	D	D	
UC Cork	A	B	D	D	A	B	D	D				A	D	D		B	C	D	D		B		D	C		B	C	D			C			B	D	C	
Trinity Coll. Dublin	B	C	D	D	B	C	C	D				B	C		D		B	D	D	C		B	C	C	D		B		D	C				B	C	D	
NIME Limerick	B	C	D	D	B	C	D	D				B	C				B		C	D		B		C	D		B		D	C				B	C	D	
Oslo	B	C	D		B	B	C	D				B	B	C	D		B	C	C	D		B	C	D	D		N/A				A			B	C	D	
Trondheim (No Level 4)	B	C	D		B	C	D					B	C	D			B	B	C			A	D	D		N/A					A			N/A			
Trondheim		A	D	D		A	D	D				B	C	D			B	B	C			C	C	D		N/A					A			B	D	D	
Linköping	B		C		B		C	D				A			C		B		C			B	C	D							C			A		D	
RIT Stockholm	B		C		B		C					B			C				C			A	D											A		D	
Uppsala	B	D	C		B	D		C				B			C				C			A	D											A		D	
Edinburgh		A	D			B	C	D				B	C	D			B		C	D		B	D	C	D			B	C	D				A		D	
Heriot-Watt	B	C	D		B	C	D	D				B	C				B		C	D		B	C	D	D									A		D	
Leeds	B	C	D	D	B	C	D	D				B	C	D	D		B		D	C		B	C	C			B	D		C				B	C	D	
Sussex	B	C	D	D	B	C	D	D				B			C	D		B		C	C		B	C	C	D		B		D	C				B	C	D
Poly of C London		A	D				A	D				A			D			A	D	C		B		C			A				A	D			A	D	
Sheffield City Poly	B	C	D	D	B	C	D	D				B			C	D		B	D	D	C		B	C	C	D		B		D	C				B	C	D

- Key: 1 = University governing bodies (e.g. Council, Senate).
 2 = Specialist University-wide committees of those bodies.
 3 = Area or Faculty Level (e.g. Faculty of Science).
 4 = Unit or Department level (e.g. Department of Physics, Chemistry etc.).
- A The level which has both 'formal' and 'effective' authority (see notes on item 3.1).
 B The level which has 'formal' authority.
 C The level which has 'effective' authority.
 D The level is consulted prior to the decision being taken.

(2) Actual Distribution

	Column 1				Column 2				Column 3				Column 4			
	A	B	C	D	A	B	C	D	A	B	C	D	A	B	C	D
1. Distribution of teaching posts to Faculties (16 responses)	1	11		1	4	1	8	1		3	13					8
2. Distribution of teaching posts to Departments	1	11		2	3	3	7	1	1		4	9			2	14
3. Appointment to teaching post in Economics	1	10			1	2	5		2		5	2	1		3	8
4. Distribution of consumables in Faculty of Science		9		1	1	4	5		3	1	8	3			1	12
5. Changes to History curriculum		10			1	4	1	2	2	2	7	5			9	7
6. Introduction of new discipline in Engineering	2	14					8	3			12	4				14
7. Virement from salaries to consumables (11 responses)	1	5				2	3	1			2	2	3		3	4
8. Acceptance of research grant in Psychology		10			1			2	2		1	4	4		9	2
9. Transfer of laboratory from Physics to Chemistry (16 resp.)	3	9			2	1	8	1	1			11			1	14
Total	9	89	-	4	13	17	45	11	11	3	42	53	8	-	28	83

- Comments
1. The total numbers (i.e. 41A 109B 115C and 151D) follow a pattern which would be expected in most institutions in that formal and effective authority are often divided (perhaps slightly more so in universities than in other organisations but not significantly so), and the involvement of three tiers is again evident.
 2. Similarly it is not surprising that formal authority predominates at the 'governing body' level, effective authority predominates at the 'specialist' and 'faculty' level and consultation at the 'departmental' level.
 3. The degree of variance related to the subject matter of the decision also conforms to expectations with levels 1 and 2 dominating 'resource' matters and levels 3 and 4 having more effective roles in 'academic' matters; a pattern which would have been even clearer prior to the 1977 Swedish reforms.

3.3 Budgetary Process

1. The following section attempts a general comparative description of certain main aspects of the budgetary system in each country insofar as it is possible to generalise across institutions. In that sense, the information given should not be taken to apply to each institution within a given country but rather as a generalisation on an aspect of the budgetary process. These generalisations were also to a certain extent necessitated by the dearth of descriptive material on these topics which exists in most institutions. Although it was frequently possible to obtain a paper on the national resource allocation process and occasionally an analytical paper about resource allocation within the

/...

institution, it was only possible in three of the seventeen institutions to obtain a simple written description of "who does what, in which sequence, in what form, and using which inputs?". For that reason, much of what is stated below originates from oral exposition obtained from finance officers during the Area Team's visits.

2. Existence and roles of budget committees

- (1) Denmark: both institutions had small (eight-member) central budget committees which play a crucial part in setting the scope and terms of the process with a mediating and interpreting role (with the assistance of officers) between the Ministry and the institution (i.e. not even the supreme council of the institution has the direct relationship with the Ministry which the budget committee enjoys). The composition of the committee is based on the 2:1:1 ratio amongst academic staff/students/non-academic staff (i.e. no external representation). There were also separate finance committees at faculty level in one institution.
- (2) Ireland: both large institutions had small (seven or ten member) finance committees, whereas the smaller and newer NIHE Limerick dealt with budgetary affairs through its heads of departments meeting. In one case (Cork), the Finance Committee had a certain 'independence' of the top-level committees (cf. Denmark). Only in University College Cork were there 'external' members on the Finance Committee (2 out of 7), and no institution had either student or non-academic staff representation on the committee dealing with the budget.
- (3) Norway: all institutions had a budget committee ranging in size from 3 to 15 members. In no case did they include 'external' members. In all cases, the institution's bid to the Ministry was finalised at governing body level. In the large Oslo University, faculties and departments each had their own formal budget committees.
- (4) Sweden: only one of the three institutions had a budget committee (Uppsala, seven members), the budget being dealt with in the other two mainly at governing body level, although the nature of the Swedish budgetary process 'programmes' the internal allocation of resources to a greater extent than other national processes.
- (5) United Kingdom: all the universities (except Sussex, where the budget function is exercised by a 'planning' committee) have a finance committee of compact size (8-13 members) in which a significant characteristic is the presence of 'lay' (external) members. The situation was the same in the two polytechnics studied although their finance committees were larger (16-17 members).

3. Internal iteration of budgetary proposals

By this, we mean the stages in the discussion process towards the final allocation of budget (e.g. the extent of downward consultation). The stages are illustrated in the following timetable and are based on a representative process within each country rather than on the process peculiar to one institution. The numbers represent the stages of the budget process in sequence (1 = the first stage, 2 = the second stage and so on).

/...

	Denmark	Ireland	Norway	Sweden	U.K.	
					Univs	Polys
Receipt of Government Guidelines	1	9	1*		2	
Bargaining with Ministry/ Authority		8, 14				
Administrative processing	2	1	2	1	3	1
Governing Body sets guidelines				2		
Budget committee sets guidelines	3		3			
Faculties consulted for bids	4	2*	4	3		2
Departments consulted for bids	5*	3*	5	4		3
Faculties compose department bids	6	4*	6	5		
Budget committee composes institution's bid	7	5	7			4
Governing body composes institution's bid	8	6*	8	6		5, 7
Further budget committee meeting	9*					6
Submission of bid	10	7	9	7		8
Discussions between institution and Ministry				8		9
Ministry allocation announced	11		10	9	1	10
Budget committee dis-tributes budget		10, 16	11		4, 7	13
Governing body finalises budget		11*19	12	13	8	14
Faculties consulted		12*17*		11	5	12*
Departments consulted		13*18*		12	6	
Ministry receives final budget		19		14		
Administration dis-tributes budget	12	15	13	10, 15	9	11, 15

*indicates optional or irregular stages in the process.

4. Degree of discussions/hearings

We examined the extent to which the budget process made possible discussions between recipients of funds and the body empowered to allocate those funds. This question can be divided into two parts: (a) discussions between Ministry and institution; (b) discussions between governing body and spending units (i.e. formal hearings rather than the formal consultation with faculties etc. referred to in 3 above).

- (1) Denmark: discussions of type (a) appear to be limited to informal contact at the earliest stage of preparing the budget; no formal provision for discussions of type (b).

/...

- (2) Ireland: extensive discussions of type (a) occur between individual institutions and the Ministry in two stages; firstly, between Higher Education Authority officials and university officers/committee members on development proposals and general planning horizon, and secondly, when the budget has been announced in order to bargain on where adjustments (i.e. cuts) to planned budget will occur. There are no formal discussions of type (b), although the composition of the relevant committees is often such as to compensate for that.
- (3) Norway: discussions of type (a) appeared to be minimal (as did the extent of 'lobbying' of parliament members). Practice varied on type (b) discussions between the one small institution, where no formal hearings took place, and the two larger institutions in which formal provision was made either through formalised budget committees at faculty/institute levels or through dialogue between officers and Department Chairmen (or both).
- (4) Sweden: discussion of type (a) occurs between the university and the Regional Board on the initial budget proposal but not at a later stage. The nature of the 'aim-oriented' budgetary process limits the extent of type (b) discussions on the initial distribution of budget but may enhance it in respect of detailed allocation insofar as a true 'buy and sell' may operate. (The implementation of the 'aim-oriented' process is of course in its early stages, and therefore it is premature to make conclusions.)
- (5) United Kingdom: in the universities, discussions of type (a) do not occur, given the block grant system and the present truncated quinquennial system (which concerned itself with broad plans rather than detailed budgets); in the polytechnics, such discussions do occur at officer level with the local authority. In both types of institutions, there is no formal provision for type (b) discussions, although much informal discussion will of course occur between officers and heads of units.

5. Structure of the Budget

We considered the extent to which the structure of the budget was within the institution's determination (as against being subject to external constraints).

- (1) Denmark: budgets are drawn up in the form of a draft entry (about 4 pages) to the national Finance Bill and therefore follow an obligatory common format.
- (2) Ireland: the budgets submitted to the HEA follow no standard form.
- (3) Norway: the budgets are drawn up in the form of a draft entry (about 6-9 pages) to the Ministry's draft budget and follow a set of obligatory standardised headings across public expenditure.
- (4) Sweden: the higher education budget is divided into 'aim-oriented' major items with standard subdivisions (e.g. undergraduate education with five occupational sectors, postgraduate education allocated by faculty). This leads to a greater uniformity of budgetary structure.
- (5) United Kingdom: all the institutions have no common budgetary structures, although the required format of financial returns to

/...

the UGC brings a certain conformity across universities and common practices across local government finance introduce common factors in polytechnic finance (although the main budgetary heads in one case were stipulated in the institution's instrument of government (constitution)).

6. Link with Longer-term Planning

We examined whether an institution's budget was related to a longer-term planning context such as a 4-year or 5-year plan.

- (1) Denmark: the Ministry of Education maintains a forward plan for higher education on a 1 year + 3 years basis, and the annual budget is prepared in this context.
- (2) Ireland: there is no nationally imposed planning framework, and, although one institution maintained its own 5-year plan, the others worked on a one-year basis.
- (3) Norway: budgeting is carried out within the framework of a continually updated 4-year plan (a 70-80 page document) within which each annual budget is submitted to the Ministry.
- (4) Sweden: the wide-ranging reform of higher education in 1977 institutionalises, through national and regional boards and planning commissions, the link between planning and the budgetary process, although the system is not linked to a standard timetable.
- (5) United Kingdom: for the universities, the well-documented quinquennial system is in abeyance; the last such plan was the 1972-77 plan and the annual budgetary process has in recent years been unrelated to such planning. In the polytechnics, there is no standard planning process related to the budgetary process, although moves towards new legislation (the Oakes Report) promise a better relationship between the two.

7. Range of the Budget

The following main items of expenditure were excluded from the annual budget:

- capital expenditure
- directly funded research
- major equipment replacement
- departments funded from the Ministry or from Ministries other than the Education Ministry (e.g. Agriculture)

8. Inflation

The inflation factor was dealt with as follows:

- (1) Denmark: the budgetary cycle for the 1980 budget (October 1978 - early 1980) is prepared on the basis of 1979 prices, including the final 1980 allocation announced in December 1979. In order to cover inflation during 1980, a supplementary Finance Act will be passed in December 1980, which will provide for inflation during 1980. Salary supplementation is automatic, although incrementation is only guaranteed insofar as Ministry estimates accord with reality within an individual institution.

/...

- (2) Ireland: supplementation for salary/wage increases is guaranteed by the Higher Education Authority but other supplementation (for non-salaries items) is not provided.
- (3) Norway: there is automatic supplementation for salary/wage awards. An estimate of inflation on non-salary items is made by institutions before they give in their submission to the Ministry. If that is an underestimate, no supplementation is given; if an overestimate, cuts in the budget may be imposed by the Ministry. In guiding this work, little use is made of a detailed cost index developed by universities (mainly at Trondheim and Oslo) as against across-the-board inflation estimates.
- (4) Sweden: budgets are prepared on the basis of existing price levels, but allocated by government on the basis of actual salary levels and unannounced government assumptions on non-staff expenditure. They are supplemented for the costs of any central salary awards which payable during the year but unknown at the time of determining the budget.
- (5) United Kingdom: universities choose which inflation estimates they will employ in their budgets, having access both to an index of university costs (the Brown Index) and the Government's indications of inflation (whether on a retrospective or target basis). Salary supplementation in respect of academic and academic-related salaries has normally been guaranteed, but otherwise universities are dependent on the accuracy of their own inflation estimates.

In polytechnics, practice is dependent on individual local authority practice. In one institution, inflationary assumptions of two types are made:

- (1) specific (e.g. salaries, fuel, electricity): these are funded by supplementary grant from local authority rate fund balances, the extent of which depends on the prudence of the local authority concerned; and
- (2) a general assumption determined internally for other items (but not based on any 'scientific' index of polytechnic costs.

9. Aim-orientation

We examined the extent to which budgets were based on purposes rather than on objects of expenditure:

- (1) Denmark: budgets are based on objects of expenditure, although Ministry allocations are determined on a 'black box' system and therefore do not make transparent the extent to which funds are programme-oriented.
- (2) Ireland: the position is similar to that in Denmark, although experiments towards the introduction of programme budgeting throughout the public service were commenced in 1969.
- (3) Norway: the position is similar to that in Denmark.
- (4) Sweden: the entire system was ~~given a~~ changed basis from 1st July 1977, when a new 'programme' budgeting system was introduced which allocates funds according to broad 'output' functions. Principal among these are (a) undergraduate teaching and (b) post-graduate teaching and research.

/...

Funds for undergraduate teaching are allocated across five nationally determined occupational sectors, namely:

- (i) education for the technical professions; natural science; technical science;
- (ii) education for the administrative and social professions; social science; law;
- (iii) medicine and nursing; odontology; pharmacy;
- (iv) teaching professions;
- (v) cultural and information professions; liberal arts; theology.

Within these types money is allocated according to the type of programme or course offered (e.g. to general study programmes, local study programmes, individual programmes, or independent courses).

Funds for postgraduate teaching and research are allocated to the faculties.

The reality of these two streams (a buy and sell relationship between programme committees and departments on the one hand, and a more traditional model between faculties and departments on the other) is still limited by three related factors:

- (a) the recentness of the reform, which means that institutions are still adapting to it;
 - (b) the lack of sufficient sophistication of information systems which should permit evaluation processes which would make its role and value more apparent;
 - (c) the lack of administrative staff resources to make the system work (e.g. the system demands sophistication and training and demands that admin budgets are determined as a fraction of academic units' budgets; hence the bargaining strength of the Administration is at its weakest when pitted against the needs and decision-making structures of faculties and programme committees). It is suspected that in fact many (especially the older) institutions, although receiving their monies from the different 'streams' of finance, pool those monies together and perpetuate the budgetary process of old.
- (5) United Kingdom: in universities, the 'black box' system at national level does not allow one to assess the programme orientation of budgets, although individual institutions are free to choose their own approach (but none of the institutions examined had taken significant steps towards programme budgeting). The polytechnics examined, locally managed, had object-oriented budgets within tightly determined budget heads (e.g. salaries, premises, supplies and services etc.).

10. Degree of institutional autonomy

We examined the degree to which individual institutions were free to determine: /...

- (a) the procedures for the preparation of the budget;
- (b) virement within main budgetary heads;
- (1) Denmark: the main constraints on budgetary preparation are determined by the Ministry (in terms of timetable and structure - see above), and virement appears very limited.
- (2) Ireland: the position is similar to that in Denmark.
- (3) Norway: the position regarding procedures is similar to that in Denmark. Virement within narrow sub-headings can be made at institutional level, but virement between sub-headings require Ministry approval. Virement between main headings would require the Ministry of Education to obtain approval from the Ministry of Finance.
- (4) Sweden: the structure of the budget is referred to earlier. Virement is clearly possible within main programme heads, but there are indications that the extent of such virement maybe the subject of Ministry limitation (e.g. by 'indicated' grants, by restrictions on carrying forward reserves), in view of the institution's ability to undermine the aim orientation of the budget through extensive virement.
- (5) United Kingdom: the position is similar to that in Denmark in respect of procedures. Virement in universities is made possible within universities by the nature of the block grant system, although internal policies may make virement a greater or lesser reality (e.g. internal allocations may be made as block grants, but may be subject to reversion rules, for example savings on temporary vacancies may or may not revert to central funds). In polytechnics, the position is broadly similar, except that virement is likely to be allowable only within but not across certain main heads of expenditure (cf. 9 above).

11. Expenditure controls

We noted the following mechanisms for the control of expenditure (other than those endemic in the accounting process itself):

- (1) Denmark: the budgets of higher education institutions are subject to the control and audit processes common to all public expenditure. It is particularly relevant that the Department of Salaries and Pensions (and not the Ministry of Education) negotiates the terms and conditions of university employees with the relevant associations and trade unions.
- (2) Ireland: although individual institutions fix salary/wage rates locally, there is a tight national monitoring system involving central meetings between officers of each institution 6-8 times a year. The accounts of universities are subject to inspection by the Comptroller and Auditor General.
- (3) Norway: audit is twofold: (i) annual statistical/financial reports are made to the Ministry; and (ii) the public auditor (responsible to Parliament not Government) has a local office within the university and checks, investigates, and makes recommendations on university expenditure.

/...

- (4) Sweden: there is a National Audit Authority which covers university expenditure and which is developing a new state system of employee/salary records. The State Economic Administration accounts for all public monies (e.g. supplies the Ministry of Education with expenditure information on universities), but its accounting structures are not yet harmonised with the most recent budgeting reforms.
- (5) United Kingdom: in universities, the Comptroller and Auditor General has access to the institution's financial records and may make recommendations concerning accountability (but, in theory, not about policy). Although salaries are within the institutions' determination, the collective structures which determine them are heavily influenced by government officials' advice. The accountability of polytechnics is subject to as detailed inspection either within the separate framework of local government finance or, in terms of the Companies Act, to professional audit.

12. Awareness of the budgetary process

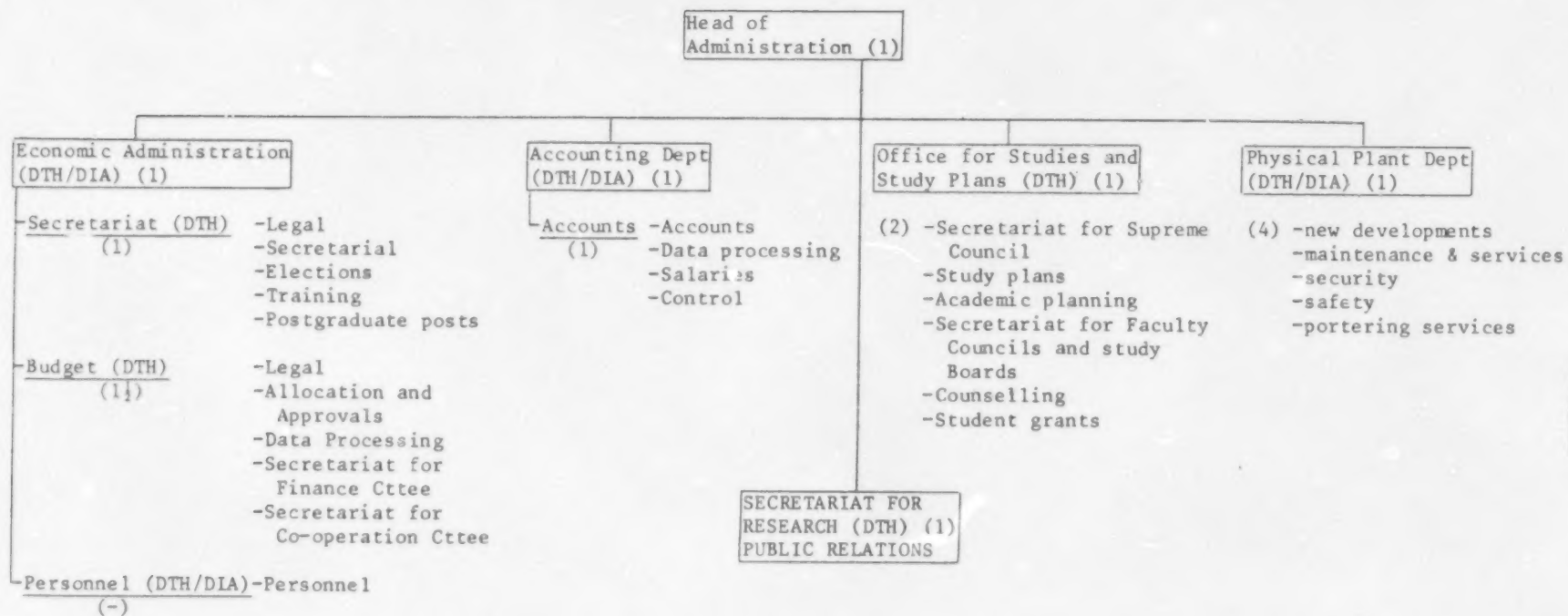
It should be noted that question 3.3. required the preparation of a written description of the budgetary process. In fact, in only three institutions was such a description available and in two of them the description had been prepared as part of an externally initiated research exercise rather than as a standing operational aid.

4.1 Administrative Structure

1. The attached charts (Charts M-R) have been chosen from the charts drawn up in response to question 4.1 in order to illustrate certain of the national characteristics of administrative structures generally in the relevant country. The legislative constraints on administrative structure are in general minimum and relate principally to the chief administrative officer(s), specifying only how many there shall be, their titles, and their mode of appointment and reporting responsibility. Under them, the detailed office structure and distribution of duties are left for internal decision. The range of duties is fairly common to all institutions although the grouping and structure of duties within offices is extremely diverse.
2. It proved unprofitable to attempt to obtain a crude comparative measure of the overall expenditure on Administrations which could have any meaning in relation to their work or efficiency. Similarly, it is all but impossible to draw valid deductions from the information on the number of staff of a status equivalent to academic staff (i.e. possessing a degree or equivalent qualification), for example by comparing student/admin staff ratios. Such information is not brought forward here, but the Area Team would nevertheless draw attention to the need to examine how a profitable analysis might be achievable in the future.
3. Within each country, the following may be noted:
 - (1) Denmark
 - the uniform pattern of one chief administrative officer (a Crown appointment within the Administration).
 - the absence of capital development administration, such matters being dealt with by the Directorate for Construction within the Ministry of Education.
 - (2) Ireland
 - no uniform pattern of chief officerships, the three institutions varying in having one, two or three.
 - (3) Norway
 - the uniform pattern, disregarding the special position of Trondheim, of one chief officer.
 - the Director and Assistant Director and other senior administrative appointments are Ministry appointments.
 - (4) Sweden
 - the uniform pattern of one chief officer, laid down in national legislation.
 - as in Norway, the senior administrative officers are Ministry appointments.
 - the extensive decentralisation of administrative staffing.
 - (5) U.K.
 - the lack of a uniform pattern of chief officers, two institutions having one, two having two, one having three, and one having four.

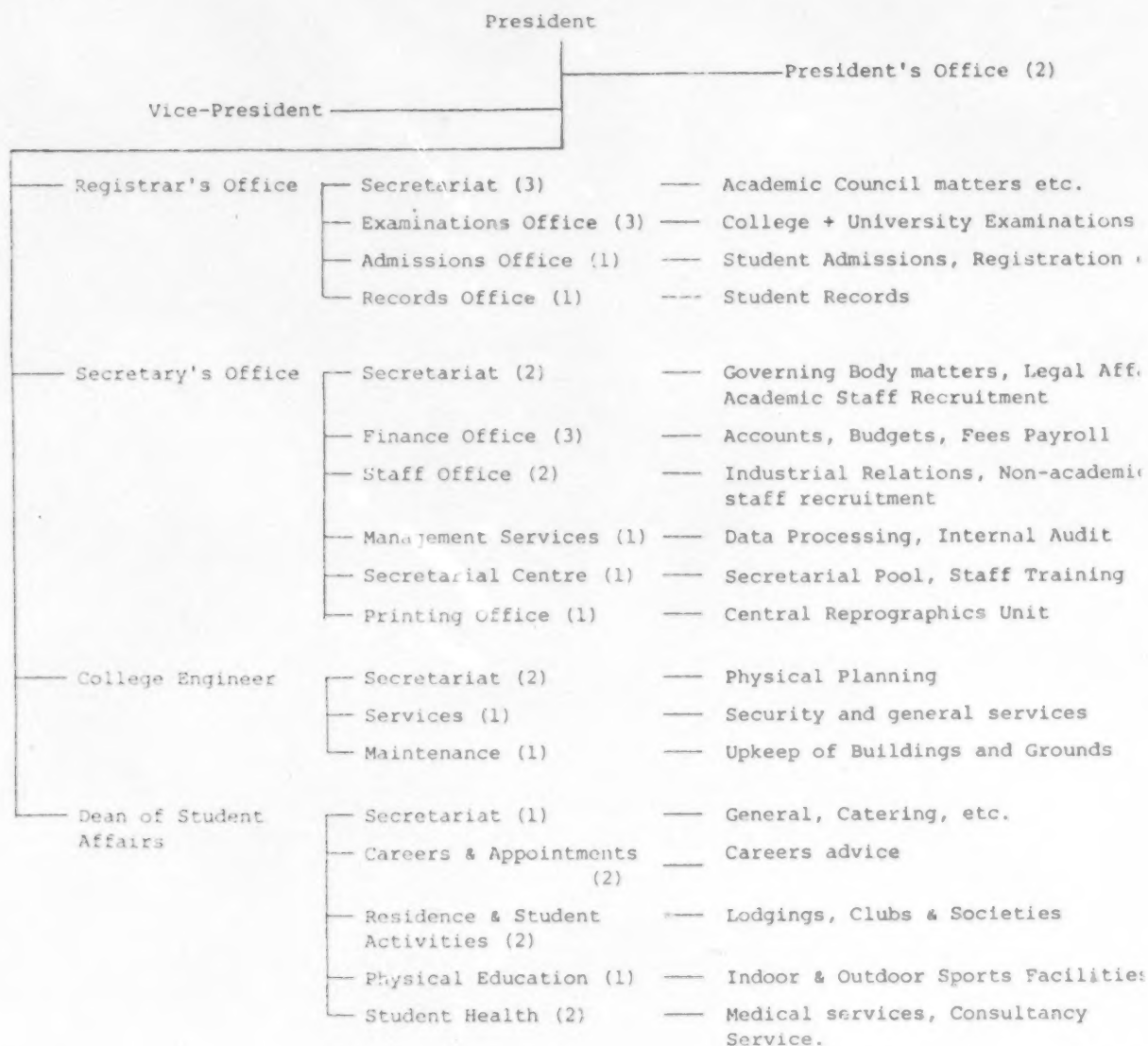
/...

TECHNICAL UNIVERSITY OF DENMARK

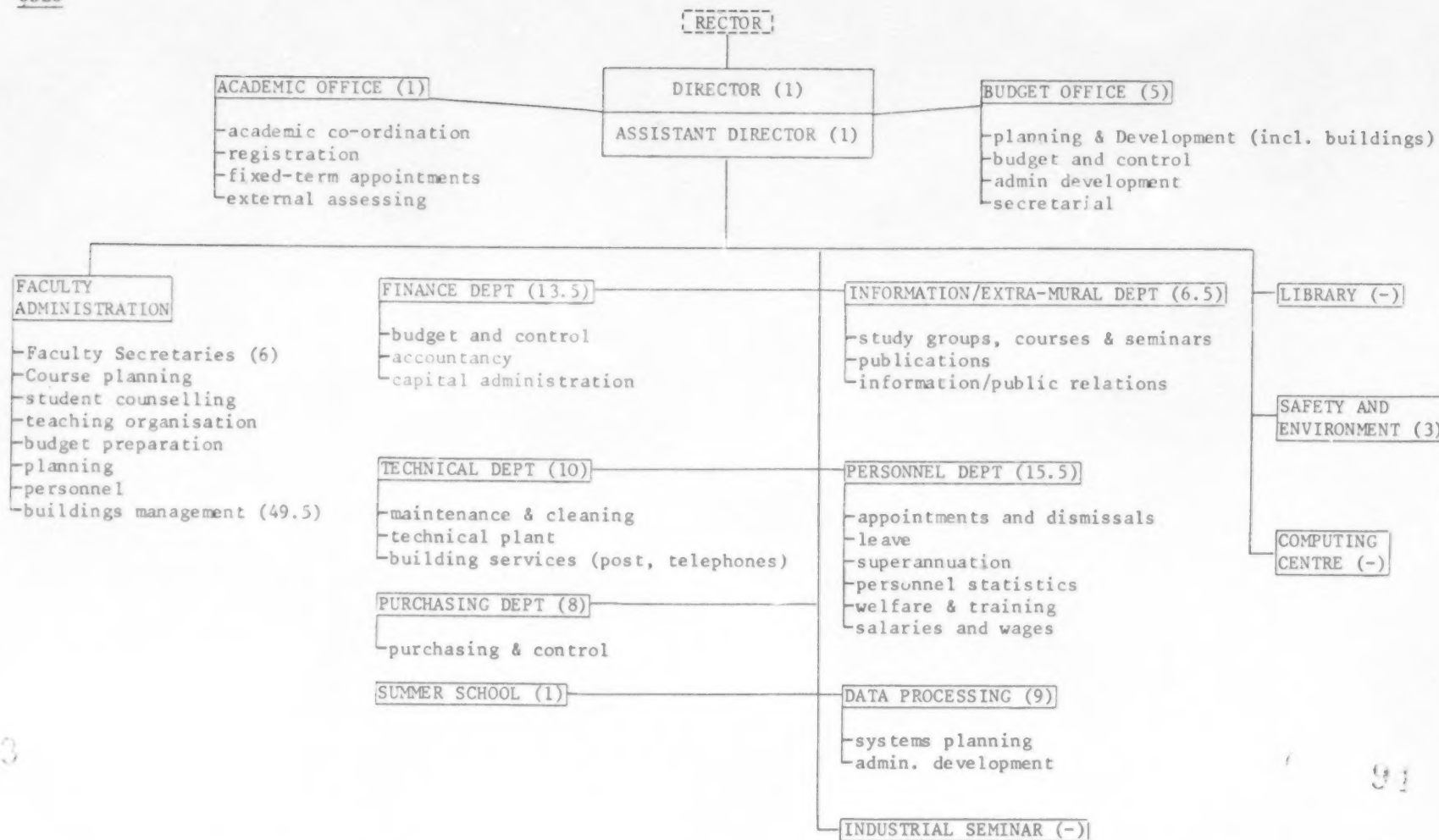


65.
CHART N

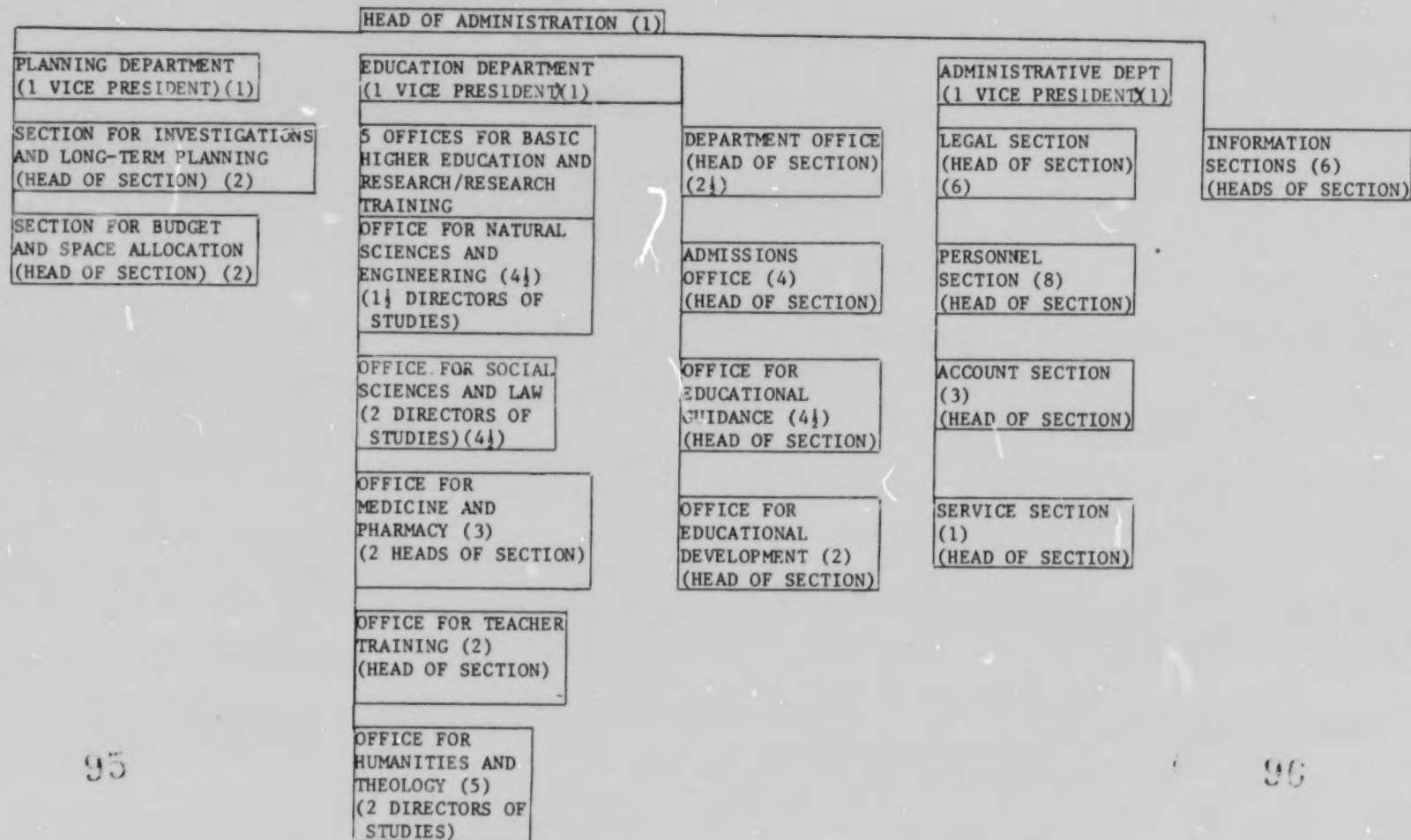
UNIVERSITY COLLEGE CORK



(32) = Number of professional staff of status equivalent to academic staff
(or possessing a degree)



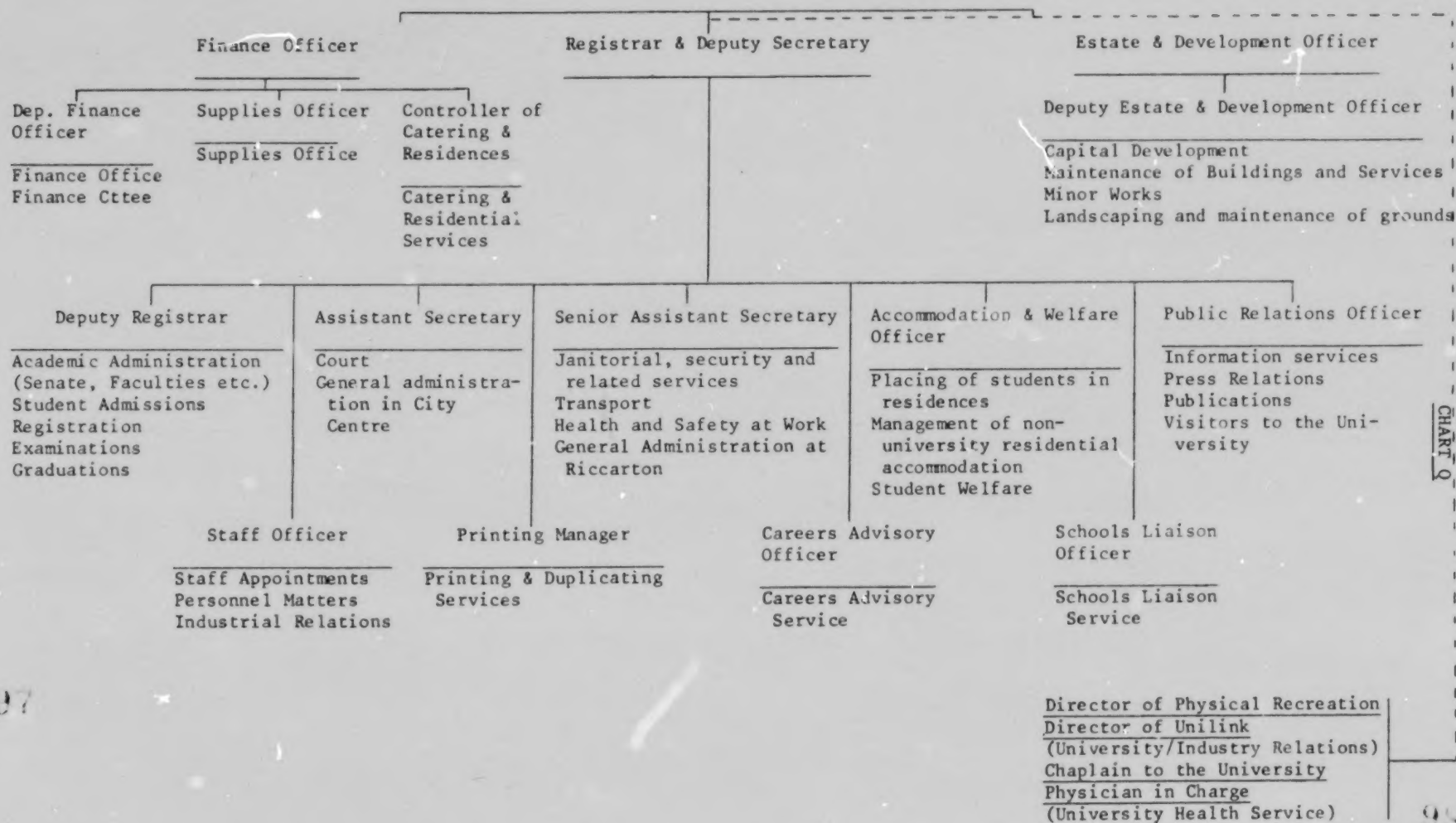
UPPSALA - CHART OF CENTRAL ADMINISTRATION



95

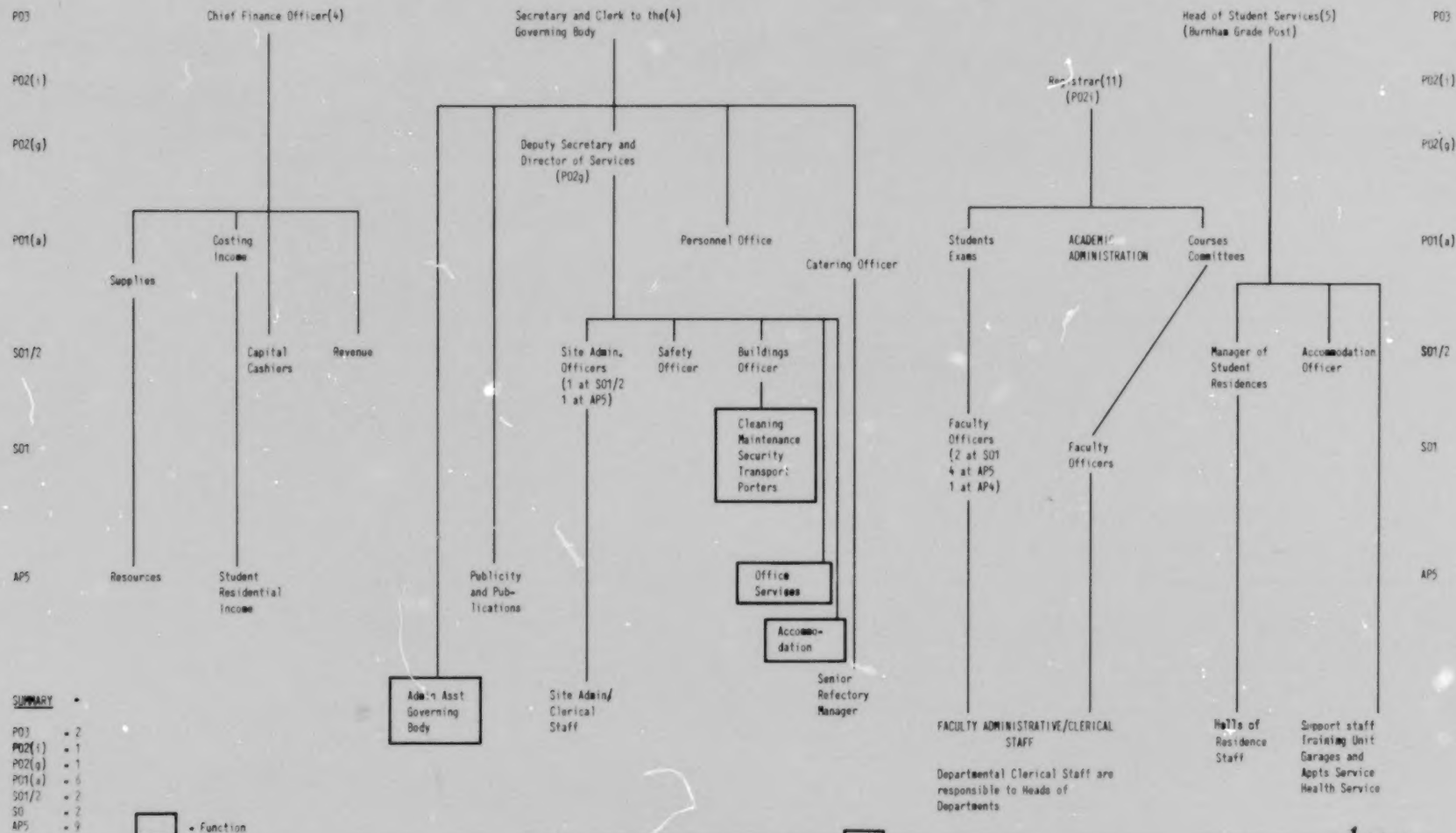
96

Director of Administration and Secretary of the University



SHEFFIELD CITY POLYTECHNIC

NON-TEACHING STAFF STRUCTURE



TOTAL STAFF WITH DEGREE OR EQUIVALENT QUALIFICATIONS

24

Chart 8

69

100

- the exclusively internal system of appointments in universities, whereas the appointments of chief officers in the polytechnics will be subject to local education authority ratification.
- the extensive buildings development administration in universities.

4.2(a) Unity of the Administration

8 (b)

1. The charts compiled in response to question 4.1 indicate the structure of the Administrations examined. Question 4.2 (a) asked institutions to comment briefly on the extent to which the Administration was a single unit and a formal entity in the institution's structure and budget. The responses to this question are difficult to evaluate since unity is an arguable concept given that:
 - (1) it cannot be equated necessarily with there being one chief officer (e.g. some administrations with two or three chief officers appeared more unified than others with one chief officer);
 - (2) unity cannot be fully measured either by policy statements or by the incidence of administrative items within the institution's budget (e.g. the administration's budget might appear as a single chapter or section of the budget, but virement rules may make unity more or less real).
2. Against that background, the responses to (a) fell into two clear types:
 - (1) institutions in which the Administration's budget was a single section within the institution's budget. Eight institutions fell into this category, although, as noted above, the extent to which funds and, more significantly, posts could be moved around within the budget varied considerably. For example, in most of the institutions of this type the budget and establishment were fixed in relation to a range of specified and defined posts, as against a fixed number of posts which might be varied in type or redistributed within that number i.e. there were few institutions in which an Administration was allocated x resources to administer the activities of the University by means of its choice.
 - (2) institutions in which the various components of administrative expenditure are distributed across a number of budget heads going across the institution as a whole (e.g. salaries, equipment, fuel and light etc.). Nine institutions fell into this category. In some of those, however, there was a wish to build up the identity and unity of the Administration through the creation of committees on administrative expenditure or staffing (or both).
3. In relation to the extent to which the above picture had changed since 1968, the only development to report is the experiment with programme budgeting in the Swedish universities, where funds are re-allocated internally to the Administration from within the two main grants for (a) basic higher education and (b) postgraduate education and research, whereas formerly (before 1977), the Administration was financed by one specified allocation within the budget.
4. Question 4.2(b) asked which authority determined the size of the annual budget of the Administration. Not surprisingly, the responses were uniform by country or, in the case of the U.K., by type of institution (i.e. university or polytechnic). Thus the answers were:

/...

Denmark (2 institutions) : Ministry
 Ireland (3 institutions) : Governing Body
 Norway (3 institutions) : Ministry
 Sweden (3 institutions) : Governing Body
 U.K. (4 institutions-universities) : Governing Body
 (2 institutions-polytechnics) : Local Government Authority

4.3 Leadership of the Administration

- (a) (i) Is the Executive Head the officer formally responsible for the Administration ? (Numbers refer to the number of institutions)

	1968		1978	
	YES	NO	YES	NO
Denmark	2		2	
Ireland	3		3	
Norway		3		3
Sweden	3		3	
U.K.	5	1	5	1
	13	4	13	4

- (ii) To whom is the Executive Head (or Head of Administration) responsible for the Administration ?

	1968		1978	
	Gov. Body	Ministry	Gov. Body	Ministry
Denmark		2		2
Ireland	3		3	
Norway		3		3
Sweden	3		3	
U.K.	6		6	
	12	5	12	5

- (iii) How many chief administrative officers, excluding the Executive Head, are there at the head of the Administration ?

	1968				1978			
	1	2	3	4	1	2	3	4
Denmark	2				2			
Ireland	1	2			1	1		1
Norway	3				3			
Sweden	3				3			
U.K.	3	3			2	2	2	
	12	5	-	-	11	3	2	1

/...

(iv) By whom are the administrative officers in (iii) above appointed ?

The answers to this question are as in (ii) above, except that:

1. in the Swedish institutions, the chief administrative officers are appointed by the Ministry (in 1968 and 1978);
2. in one U.K. institution, one of the 3 chief administrative officers (*primus inter pares*) is appointed by the local education authority (in 1968 and 1978).

(v) Do the chief administrative officers in (iii) have voting membership of the following committees:

	Denmark		Ireland		Norway		Sweden		U.K.		Overall	
	YES	NO	YES	NO	YES	NO	YES	NO	YES	NO	YES	NO
Governing Body	-	2	-	7	-	3	3	-	-	12	3	24
Governing Body Exec.	-	1	/	/	/	/	3	-	1	2	4	3
Senior Academic Body	-	1	3	4	-	1	-	3	-	12	3	21
Main Planning Body	-	2	3	-	-	3	-	3	1	11	4	19
Main Finance Body	-	2	4	3	-	3	1	2	-	12	5	22
	-	8	10	14	-	10	7	8	2	49	19	89

As a percentage: Overall Denmark Ireland Norway Sweden U.K.

YES	18%	0%	42%	0%	47%	5%
NO	82%	100%	58%	100%	53%	96%

Notes: 1. It should be noted that in Ireland the tradition (at one time prevalent in other countries) remains of the Registrar being a senior member of the academic faculty.

4.5 Co-ordination

How is co-ordination of the Administration achieved ?

	Denmark				Ireland				Norway				Sweden				U.K.				Overall			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Formal Administration Committee				2				3				3		2	1			1	5				3	14
Informal co-ordinating groups	1	1			3				1	2			2	1			6					13	4	
Comprehensive admin. plan			2				3				3				3			1	5				1	16
Detailed admin. regulations		1	1				3				3		1	2				4	2				6	11
																					-	13	14	41

Notes: 1 = exclusively
 2 = to a major extent
 3 = to a significant extent
 4 = not significantly

/...

4.6(a) Training

This question asked if any members of the administrative staff had attended the following types of training and professional development activity in the past year. The overall picture is as follows (the numbers referring to the percentage of institutions responding positively):

Activity	Organised for:		
	Higher Education Institutions only	Public Administration at large	Other
Conferences	100	88	71
Seminars - Local	65	29	12
- State	59	59	29
Courses - 1 week	82	71	76
- 1-4 weeks	17	17	6
- 4-12 weeks	6	-	-
- 12-52 weeks	6	6	12
- Over 52 weeks	17	-	6

The percentage responses by country are as follows:

Activity	Organised for:										Other				
	Higher Education Institutions only					Public Administration at large									
	Denmark	Ireland	Norway	Sweden	U.K.	Denmark	Ireland	Norway	Sweden	U.K.	Denmark	Ireland	Norway	Sweden	U.K.
Conferences	100	100	100	100	100	100	100	100	100	66	50	100	66	66	66
Seminars - Local			33	100	66	80			100	33	16			33	16
- State	50			100	66	66	100	100	100	66			33	33	66
Courses - 1 week	50	100	100		66	80	100	33	100	66	66	100	100	66	66
- 1-4 weeks		33			33	16			33	66					33
- 4-12 weeks						16									
- 12-52 weeks						16				16				33	16
- Over 52 weeks						50								33	

- Notes:
1. The United Kingdom clearly has the most advanced practices developed for higher education and consequently makes less use of opportunities outside higher education.
 2. Conferences and seminars are reasonably plentiful but courses remain relatively rare.

/...

4.6(b) - (e) Training

	Foreign Lang Proficiency		Study Visits etc.		International Conferences		Admin. Library		Internal Seminars		Transfers		Secondments/ Exchanges		Paid Study Leave		% of staff spending 1 day training		Chief Officer experience in post		
	68	78	68	78	68	78	68	78	68	78	68	78	68	78	68	78	78	-5	5-10	10 + yrs	
Tech. Univ Copenhagen	90	90	40	40	70	70	NO	NO	NO	NO	NO	NO	NO	NO	NO	NO	90%	-	-	100%	
Roskilde UC (1972)	100	100	0	0	50	20	NO	NO	NO	YES	NO	YES	NO	NO	NO	NO	100%	-	100%	-	
UC Cork	0	6	0	6	6	6	NO	NO	NO	NO	NO	NO	NO	NO	NO	NO	30%	-	50%	50%	
Trinity C Dublin	10	20	0	5	6	20	NO	NO	NO	NO	NO	YES	NO	NO	NO	NO	30%	-	-	100%	
NIHE (1972) Limerick	50	50	0	20	0	20	NO	NO	NO	YES	NO	YES	YES	NO	NO	NO	70%	-	100%	-	
Oslo	75	80	3	5	5	8	NO	NO	NO	NO	NO	NO	NO	NO	NO	YES	30%	-	-	100%	
Tromsø	70	70	0	5	0	20	YES	YES	NO	NO	NO	NO	NO	NO	NO	YES	100%	-	-	100%	
Trondheim	75	80	2	7	10	22	NO	NO	YES	YES	NO	NO	NO	NO	NO	YES	30%	100%	-	-	
Linköping	/	20	/	10	/	10	/	NO	/	YES	/	YES	/	YES	/	YES	60%	-	-	100%	
RIT Stockholm	70	70	2	5	10	10	NO	YES	NO	NO	NO	NO	NO	NO	NO	YES	25%	-	-	100%	
Uppsals	← Increase →						YES	YES	YES	YES	YES	YES	YES	YES	YES	YES	50%	-	-	100%	
Edinburgh	8	8	0	2	2	6	NO	YES	YES	YES	NO	YES	NO	YES	NO	NO	16%	-	-	100%	
Heriot-Watt	0	0	0	4	2	18	NO	YES	NO	YES	NO	NO	NO	YES	NO	NO	55%	-	-	100%	
Leeds	10	10	10	8	10	8	NO	YES	NO	YES	NO	YES	NO	YES	NO	NO	30%	-	-	100%	
Sussex	10	10	10	8	5	4	YES	YES	YES	YES	YES	YES	YES	YES	NO	YES	30%	-	-	100%	
Poly of C London	10	14	0	0	0	5	NO	YES	NO	YES	NO	YES	NO	YES	NO	YES	25%	-	-	100%	
Sheffield City Poly	← Increase →						NO	NO	NO	YES	NO	YES	NO	NO	NO	YES	10%	-	33%	67%	
Ranges	0-100	0-100	0-40	0-40	0-70	4-70															

- Notes:
1. Foreign language proficiency of administrators does not seem to have increased despite the closer relations which have developed across language barriers. The proficiency in Scandanavia is significantly higher than in Ireland and the U.K.
 2. It is perhaps more surprising that foreign exchanges appear not to have developed amongst administrators, and even more so that attendance at international conferences is so low compared with academic staff.
 3. The development of learning resources in the form of libraries for the Administration, which is seen in the U.K. as an indication of the attention paid to training, does not appear to have occurred outside the U.K.
 4. The same as 3 is true to a lesser extent in relation to the existence of programmes of in-house training seminars.
 5. The practice of moving administrators systematically amongst posts for training and career development purposes is a key indicator not only of training opportunities but of the extent to which the Administration is seen as a unified body of staff (an internal civil service). The fact that it has increased from approx. 12% of the institutions to 53% is worthy of note.
 6. The recent development of secondments/exchanges of admin staff between institutions in the U.K. is not reflected in any of the other countries. On the other hand the opposite is almost the case in regard to paid study leave.
 7. The fact that approx. 80% of staff spent at least one day away from their institutions on professional development activities is encouraging.
 8. The fact that almost every chief admin officer in the sample had been in office for over 10 years is an indication of the stagnation in recent years, but it is of great significance in relation to the project i.e. it demonstrates that the views obtained are based upon considerable experience.

4.7 Computerisation

(% of institutions using computers for the activities listed).

	Major Usage						Minor Usage						No usage but usage planned						No usage & no plans					
	Denmark	Ireland	Norway	Sweden	U.K.	Overall	Denmark	Ireland	Norway	Sweden	U.K.	Overall	Denmark	Ireland	Norway	Sweden	U.K.	Overall	Denmark	Ireland	Norway	Sweden	U.K.	Overall
Student Records	100	100	100	100	100	100	-	-	-	-	-	0	-	-	-	-	-	0	-	-	-	-	-	0
Student Admissions	100	100	66	100	66	82	-	-	33	-	-	6	-	-	-	-	-	0	-	-	-	-	33	12
Student Exams	50	33	66	33	50	47	-	-	33	66	33	29	50	26	-	-	17	24	-	-	-	-	-	0
Student Statistics	100	100	66	100	50	76	-	-	33	-	50	24	-	-	-	-	-	0	-	-	-	-	-	0
Payment of Wages	100	100	100	100	100	100	-	-	-	-	-	0	-	-	-	-	-	0	-	-	-	-	-	0
Payment of Bills	50	33	100	100	33	59	-	-	-	-	-	0	50	-	-	-	-	6	-	66	-	-	66	35
Income Analysis	-	33	100	33	33	41	100	-	-	33	33	29	-	66	-	-	17	18	-	-	-	33	17	12
Expenditure Analysis	50	100	100	33	33	59	59	-	-	26	50	35	-	-	-	-	-	0	-	-	-	-	17	6
Budgetary Control	100	100	100	66	33	70	-	-	-	33	33	18	-	-	-	-	-	0	-	-	-	-	33	12
Staff Records	50	-	33	-	17	18	-100	33	100	33	53	-	-	33	-	17	12	-	50	-	-	-	33	18
Equipment Inventories	-	-	66	33	-	18	-	-	-	-	-	0	-	-	33	66	-	24	100	100	-	-	5	59
Space Allocation	-	-	-	-	17	6	-	-	-	-	-	0	-	66	-	100	33	41	100	33	100	-	50	53
Library Procedures	100	100	66	66	50	70	-	-	-	-	-	0	-	-	33	33	17	18	-	-	-	-	33	12
Teaching Timetables	-	-	33	-	-	6	-	33	33	-	17	18	-	-	-	33	50	24	100	66	33	66	33	53
Modelling/Simulations	-	-	-	-	17	6	-	-	-	33	-	6	-	-	-	-	-	0	100	100	100	66	87	88
Incidence with national systems	3	3	-	16	9	31	-	-	-	1	2	3	-	-	-	-	-	0	-	-	-	-	-	0

Average for all functions

58	58	87	51	40	50
----	----	----	----	----	----

- Notes: 1. Bearing in mind the wide range of functions the fact that the overall average for major usage of computing is 50% is a clear indication of the developments over the past decade or so.
2. The table bears out the general impression that the drive towards computerisation came from the twin sources of resource and academic administrators in the expansion era of the 1960s. Capital (equipment and space) functions were neglected.

4.8 (a)-(f)

Administrative Personnel

	(a)(i) Specialist % Professional Qualification	(a)(ii) Internal Mobility %	(d)(i) Decentrali- sation %	(d)(ii) Change	(e)					(f)		
					OECD/CERI %	% Marginal Costing	% Cost-benefit Analysis	% MBO	% Job Evalu- ation	Exit destinations elsewhere in higher ed.	public admin	Other
Tech.Univ.Copenhagen	75	0	0	→	50	50	50	60	70	60	30	10
Roskilde UC	75	8	0	→	35	50	50	45	20	20	70	10
UC Cork	28		0	→	5	40	40	45	50	60	30	10
Trinity Coll.Dublin	30	15	10	↗	10	60	60	60	60	60	20	20
NIHE Limerick	0	0	0	→	30	60	60	50	40	-	-	100
Oslo	25	2	45	→	10	40	40	60	70	20	80	-
Tromsø	16	13	36	↘	30	60	80	100	90	10	80	10
Trondheim	30	5	95	→	20	30	25	25	30	20	60	20
Linköping	10	20	20	↗	10	30	15	15	20	30	50	20
RIT Stockholm	25	10	20	↘	5	10	10	5	20	50	30	20
Uppsala	10	20	20	→	5	10	10	5	20	60	30	10
Edinburgh	20	5	15	↗	10	40	40	50	60	80	-	20
Heriot-Watt	10	5	0	→	25	20	20	30	60	80	10	10
Leeds		30	0	→	60	25	25	25	25	80	10	10
Sussex	15	45	21	→	15	25	10	15	10	80	15	5
Poly. of C. London	5	0	20	→	5	8	8	8	15	80	-	20
Sheffield City Poly	16	20	35	↗	30	80	45	80	90	50	33	17

Average

%

20%

4
11
2

Note: 1. The answers given to these questions were very impressionistic, and significance should not be read into statistical variances up to 20%.

5. A,B,C. Respondents' Opinions

1. In addition to their opinions on the specific topics covered in Section 4 above, all of the people interviewed were asked questions in an endeavour to obtain their opinions on the following:
 - A. The three main current or foreseeable difficulties for university management from an institutional viewpoint.
 - B. The three main current or foreseeable difficulties for university management from the respondent's individual viewpoint.
 - C. The three main tasks for university management to accomplish in the next few years in your institution.'
2. The respondents were rarely asked those questions directly; the opinions were recorded by the interviewers either during the formal interviews on general topics or, quite frequently, in discussions on social occasions. The results are thus the impressions of the Area Team rather than the considered views of the interviewees in direct response to the three questions.
3. The table at the end of this section summarises the approximate 1,000 individual opinions of 130 people over a wide range of issues. The listing of the opinions was a major task in itself and there was little time for analysis. A full analysis will have to await the future. This report simply summarises the opinions in broad categories with a degree of differentiation by respondent, institution or country; but it does not attempt the more interesting and valuable task of finely classifying the opinions and of analysing them in detail from a variety of viewpoints. That wealth of information remains for further studies.
4. It should also be noted that the responses to the two questions A and B (see 1. above) have been combined. It would be more effective to distinguish between the responses made from an institutional viewpoint and those made from the standpoint of the individual respondent. In many cases there was little difference in the response of the individual but in other cases, particularly students and auxiliary staff, the difference between the institutional and individual was significant.
5. At this point we are including a simple listing of the problems which were most frequently referred to under questions A and B (i.e. not all of the responses are covered by this list).

Categories	Ireland	Denmark	Norway	Sweden	U.K.	Total
Students (e.g. quantity, quality, role)	9	10	12	20	13	64
Staff (e.g. structure, inputs, rewards quality)	10	6	13	16	24	69
Democratisation (including legislation)	5	6	13	10	14	48
Legislation (other)	2	2	2	4	7	17
Public Accountability (not only finance but roles, attitudes etc.)	7	4	9	6	10	36
Autonomy	9	5	11	8	11	44
Scale (e.g. expansion or lack of it)	8	2	4	3	6	23
Site (e.g. space, capital facilities multi-site effects)	12	2	10	3	22	49
Economic state and uncertainty	24	8	15	17	39	103
Complexity (including time usage)	16	5	13	19	14	67
Internal cohesion	4	3	14	2	14	37
Management/Employee Relations	18	5	6	6	22	57
Total responses under above headings	124	58	122	114	196	614

/...

Many factors need to be kept in mind before attempting to draw any conclusions from the above table e.g.

- (a) the allocation of responses to categories, and the non-allocation of other responses, was not a rigorous or scientific process but a matter of quick judgement.
 - (b) the allocation was difficult especially in view of the interrelated nature of the categories; for example, a concern about the role of Trade Unions could be categorised under 'Internal Cohesion', 'Management/employee Relations' or 'Democratisation/Legislation'.
The choice was based on the interviewer's recollection of the respondent's particular concern but that might not have been accurately expressed in a brief interview or accurately remembered.
 - (c) the distribution of types of respondents creates bias in the topics of concern. The fact that the representatives of the students and the auxiliary staffs (representing 20-25% of our sample) responded mainly on the fewer topics with which they were familiar helps to account for the high numbers of responses in certain categories.
 - (d) similarly the composition of the sample of institutions creates a degree of bias. For example:
 - (i) the sample contains a high number of relatively new institutions, which are therefore not unexpectedly more concerned about physical development or multi-site functioning than would be the case with older institutions.
 - (ii) the high responses in Norway and, to a lesser extent, the U.K., under 'Internal Cohesion' are due to a significant extent to the particular problems of merging several established institutions into one new institution.
 - (iii) the small size of the Danish sample.
 - (e) the categories do not cover all of the elements and activities of a university. Teaching, curricula and research (to mention the most obvious missing ones) are not listed as categories; that does not mean that no concern was shown about them. The 'Student' category responses, for example, include some on curricula and teaching matters; the concern about 'Time usage' of complex organisational structures is often simply another side of the coin of concern about lack of research time...and so on.
6. In view of the above reservations it is best to attempt no more than to draw very broad conclusions from the table in 5.5. For example:
- (a) the concern about 'Economic state and uncertainty' is the most widely-held one as would be expected (especially in Ireland and the U.K.);
 - (b) the fact that 'Staff' matters is the next highest category might be a surprise to some observers, but it reflects a clear recognition on-the-ground in the universities that staff are the major asset and resource of the institution and that both efficiency and flexibility are highly related to the features of that resource;
 - (c) the responses show a wide degree of dispersion e.g. no one category has more than 20% of the national or total responses;

/...

(d) the specific factors affecting national systems are to some extent reflected broadly in the table e.g.

(i) the 'Scale' responses from Ireland are approximately 2 or 3 times higher than the other countries proportionately - which reflects the fact that expansion is still continuing in Ireland unlike the other systems;

(ii) the proportionately high 'Student' category for Sweden and Denmark partially reflects almost the opposite of (i) i.e. a concern about the quality, quantity and motivation of students when the supply of places went above demand.

7. The following table represents a broad categorisation of the most frequent factors referred to in the responses to question C in (1) above (i.e. the three main future tasks). The categories used have been kept the same as for the table in (5).

Categories	Ireland	Denmark	Norway	Sweden	U.K.	Total
Students	7	4	8	5	10	34
Staff	10	2	2	13	11	38
Democratisation	8	4	7	6	15	40
Legislation	0	0	0	0	0	0
Public Accountability (e.g. better machinery for expressing it; university to try to meet expressed needs)	6	3	10	8	14	41
Autonomy	1	3	2	1	6	13
Scale (e.g. coping with or obtaining expansion)	6	2	5	2	8	23
Site	9	3	7	3	9	31
Economic State/Uncertainty	6	9	4	7	21	47
Complexity (e.g. reduce to save time)	4	4	5	8	9	30
Internal Cohesion (e.g. resolve through devolution, communication etc.)	6	2	7	3	10	28
Management/Employee Relations	5	2	5	2	9	23
Total	68	38	62	58	122	348

The same factors of reservation need to be kept in mind as in (3), (4) and (5) i.e.:

- (a) the 'unscientific' method of allocation;
- (b) the interrelated nature of the categories;
- (c) the bias created by the composition of the types of respondent e.g. a sizeable proportion of the 'Site' responses derive from the fact that the administrator in charge of buildings was included in the sample;
- (d) bias due to the institutional make-up of the sample e.g. the Norwegian responses under 'Public Accountability' is proportionately almost double that of other countries partly because of the strong motivation at Tromsø to meet the needs of North Norway but also partly because of complaints about delays and procrastinations on the 'public's preferences' in relation to Trondheim;
- (e) the fact that the categories are not comprehensive. /...

8. Bearing in mind the above reservations, the following comments can nevertheless be made about the table in (7) above:

- (a) the dispersion is reasonably wide, i.e. there are many tasks of differing natures.
- (b) 'Economic State and Uncertainty' remains the largest category but less predominant than in 5.5 i.e. it may be that there is a feeling that although it will remain a problem it is something which has to be lived with.
- (c) On the other hand 'Democratisation' almost doubles its rating compared with 5.5 which seems to indicate the extent of the view that the 'balance' has not yet been found.
- (d) The score under 'Public Accountability' might seem surprising at first sight but two comments help to put it into perspective. Firstly, the effects of time perspective; in listing current or past problems people were inclined to talk about 'loss of autonomy' whereas in discussing future tasks the tendency was to be positive about ways of meeting external preferences and needs in order to reverse that loss; that time perspective effect also relates to the concern about the current economic state and uncertainty. Secondly, there was undoubtedly a concentration in the responses to question C on the need to adjust the University/Government axis and its relationship to the economy, society, regionalism etc.
- (e) the specific factors related to national environments can to a limited extent be seen in the pattern of responses e.g.
 - (i) the Swedish high score on Complexity (i.e. the need to find ways of mitigating it) is not surprising in view of the nature and extent of the very recent changes in university government and management.
 - (ii) the relatively high ratings for Ireland and Norway on 'Scale' and 'Site' and the low ratings of the other countries reflects the national differences in demography/development.
- (f) It might also be possible to detect the transfer of experience, particularly amongst the Scandinavian countries e.g. the 'Student' category of recent and current problems is approximately twice as large for Sweden proportionately to Norway in (5) yet in looking to the future the situation is almost exactly reversed in (7) i.e. it may be being anticipated that the trends of the recent past in Sweden will occur in the near future in Norway.
- (g) It is unremarkable that no respondent feels that further legislation should be a desired aim.

9. The broad categories used in (5) and (7) are purposefully related as closely as possible to the limited range of problems on which the project was asked to concentrate. That latter range proved to be a reasonably good estimate of the areas in which respondents concerns and aims would fall. However, several adjustments had to be made to the list in order for it to serve as the basis of categorisation for the above tables i.e.

- (a) The two project problems of 'Effects of economic uncertainty' and 'Productivity' had to be combined into 'Economic State and Uncertainty' since it was not possible to clearly distinguish them.

/...

- (b) the topic of new 'Legislation' had to be divided into the legislation and formalisation concerning 'democratisation' and other legislation.
- (c) three new categories were introduced i.e. 'Student' (incorporating the 'Demand Profile' project problem) 'Staff' and 'Site' since a reasonably high percentage of the responses were specific to those items.

In the two summary tables in (5) and (7) the responses have been categorised very broadly into groups closely related to the problems predicted at the outset of the project. As pointed out in (3), a detailed analysis of the total response would be a task beyond the bounds on this stage of the project. It is thus appropriate at this point to remind ourselves that the purpose of the project is to obtain an impression of the main problems/issues/aims and not to produce a definitive quantitative analysis of the realities and perceptions of University management in Europe.

10. In the following table, the responses have been classified in somewhat more detail than in the tables in (5) and (7) whilst still falling short of full analysis. Universities are open systems which attempt to maintain equilibrium under varying internal and external pressures; and the extent to which they do so is partly a function of the design and flexibility of their internal structures and processes. The opinions of the interviewees have therefore been categorised broadly in terms of the internal components of the university and the external factors which influence universities. The categories thus illustrate the topic of concern or interest rather than the nature of the concern.

The categories used are:

A <u>Internal Components & Pressures</u>	B <u>External Factors & Pressures</u>
1. Membership Classes	1. Parliament/Government/Ministry
2. Internal Groups	2. Legislation
3. Organisational System	3. Public Opinion
4. Committee Structure	4. National Higher Education Bodies
5. Officer Structure	5. Local/Regional Authorities
6. Finance	6. Voluntary Association
7. Capital Facilities	7. Research Councils
8. Teaching and Curricula	8. Professions/Peers
9. Research	9. Trade Unions
10. Other	10. Demography/Student Demand
	11. Techniques/Technology

It should also be kept in mind that the larger number of categories does not significantly ease the problem of allocation to specific individual responses; there remains a considerable overlap amongst the categories. A concern over the apparent decline in the priority afforded to universities could be categorised under any of several external factors or even under an internal component (e.g. if the respondent related to the decline to the public or political behaviour of students). We have tried to select the category on the basis of our assessment of the respondent's prime focus of concern.

11. The key to the following table is based upon the following:

/...

(a) Country symbols

D = Denmark	S = Sweden
I = Ireland	U = U.K.
N = Norway	

(b) Institution symbols

R = Roskilde	E = Edinburgh
TC = Trinity College Dublin	CN = Copenhagen
LK = Limerick	CK = Cork
TM = Trondheim	O = Oslo
U = Uppsala	TO = Tromsø
RS = Stockholm	LP = Linköping
LS = Leeds	SX = Sussex
LP = Polytechnic of Central London	SP = Sheffield
	H = Heriot-Watt

(c) Respondents

- 1 = Head of the Institution
- 2 = Head of the Administration
- 3 = Officer responsible for Finance
- 4 = Officer responsible for buildings
- 5 = Officer responsible for planning
- 6 = a representative of professors
- 7 = a representative of non-professorial teaching staff
- 8 = a representative of decentralised unit
- 9 = a representative of auxiliary staff
- 10 = a representative of students

- (d) If the number in (c) above is underlined that represents the fact that the response was made from the individual's personal role point of view.

Note: In the table the institutions and individuals have been separately indicated. It would have been possible to combine the symbols and thereby indicate the opinions of the Head of the Administration at Sussex, the student representative at Uppsala and so on. That has not been done because of the confidential nature of the interviews and because it is not essential to the purposes of the project. In a few cases it is possible to detect that a particular individual in a particular institution expressed an opinion on a particular topic but it is not possible to detect the nature of that opinion. We felt that in those relatively few cases the individuals concerned would not mind it being known that they had expressed opinions on 'balance of teaching/research', 'teaching methods' etc. provided it was not indicated how they wished the balance to be adjusted, that they preferred large lectures to small group teaching, and so on.

- (e) The column 'Problems/Issues' refers to the responses to questions A and B in (1) above and 'Tasks' to the responses in question C.

Example 'USX-2 No-1 2 3 10' indicates that there were two responses from Sussex and one from Oslo; and that the responses came from an Head of Administration, a Chief Financial Officer (personal role viewpoint) and a student representative.

12. As already stated the table is presented for future analysis. The comments in sections 6 and 7 draw upon the contents of the table but there has been no analysis of the table as such.

/...

Table on Responses to Questions on Recent Problems/Issues
and Future Tasks

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
1. <u>Membership Classes</u>				
1.1 <u>Student</u>				
Broaden criteria for selection, improve relations with sources of applicants, concerns about quality; improve admissions - employment market relationship; adjust University to needs of new type of student.	SU-1 SRS-3 SLP-2 USX-3	5 6 6 6 7 7 8 9 10 10	NTO-2 NTM-2 SRS-1 USX-2 NO-1 UE-1	2 4 6 6 6 7 8 9 10
Improve study aids and counselling; improve appeals/ Complaints procedures. Develop Alumni Association.	USX-1 ULS-1	8 10	ILK-1 UE-1 ITC-1 ULS-1	2 10 10 10
Student management of services; Students Union Fee and Union autonomy.	NTO-1 NTM-1 NO-2 UE-1	10 10 10 10 10		
Student loans/grants inadequacy.	SRS-2 SU-1 NO-1 DR-1 DNC-1 ULS-1	8 10 10 10 10 10 10	NTM-1 ILK-1 DR-1	1 10 10
Lack of continuity and experience of student representatives at all levels.	NTO-1 NTM-1 SU-1 SLP-1 ITC-1	9 10 10 10 10	SRS-1 DCN-1 UE-1	6 10 10
Apathy amongst students (e.g. need to increase student activity).	SRS-1 SU-1 NTM-1 DR-1 ICK-1 USX-1	10 10 10 10 10 10	NTO-1 NO-1 NTM-1 ULS-1	10 10 10 10
Militancy and waste of time/resources caused by it	NTO-2 UE-1 ITC-1	2 7 7 10		
Students' Union - Trade Union liaison.	NTM-1 SU-1 DR-1 DCN-1 ICK-1 ULS-1	9 9 9 10 10 10	ITC-1	10

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
1.2 Academic Staff				
Problems of age structure, quality and career development.	UH-3 USX-2 ULP-3 ULS-1 USP-2 SLP-2 UE-2 ITC-1 SU-1	1 1 1 2 2 3 5 5 6 6 6 6 7 7 7 7 8	UH-1 SLP-2 ULS-1 SRS-1	4 6 6 6 7
Staff rigidities (e.g. those caused by tenure).	UE-1 ULP-2 USX-1 ILK-1	1 2 2 2 3	DCN-1	8
Balance of teaching/research and relative rewards.	USX-1	6	SRS-2 SU-1	6 7 7
Balance of Professorial hierarchy/authority and 'democracy' within academic staff structure and roles.	UH-2 USX-2 USP-1 DCN-2 ICK-1 ITC-1 SRS-1 SU-1 NTO-1	1 6 6 6 7 7 7 7 7 7 7 9 - - - - - - - - - - - - - - -	SLP-1 NTM-1	1 7
1.3 Other Staff				
Workloads on senior officers and admin. staff.	NTO-2 NTM-2 NO-1 ICK-2 DCN-1 SRS-1 UE-3 USX-1	1 1 1 1 1 1 2 3 5 5 5 6 7 - - - - -	ULP-1	1
Need to increase professional admin staff numbers.	NTM-3 ILK-1 ICK-3 DCN-1 USP-1 ULS-1 UH-1	2 2 2 3 4 5 5 5 6 8 8 - - - - -	ILK-1 ULS-1	3 3
Academic/Admin Staff co-operation.	USP-2 UE-1 UH-1	3 3 4 6		
Need for more and better technical/clerical support staff to enable academics to do more research and teaching.	NTO-1 ULP-1 UH-1 NTM-1	5 7 9 9		
Problems relating to staff controlled by students.	NO-1	10		

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
1.4 <u>Lay Members</u>				
Strengthen role of lay and external professional members (e.g. keep them better informed, increase representation etc.)	SLP-1 ULS-1 USX-1	<u>3</u> <u>5</u> 6	SRS-1 ULS-3	1 2 5 8
1.5 <u>All Staff</u>				
Difficulty of attracting staff (e.g. location problem).	NTO-1 ILK-1 DR-1 ULP-1	1 <u>2</u> <u>2</u> 7		
Low salary levels and other rewards compared with competitors; too few incentives; low morale.	ILK-2 USX-1 ITC-1 USP-2 ICK-1 ULP-2 ULS-1	<u>1</u> <u>2</u> <u>2</u> <u>3</u> <u>4</u> <u>4</u> 4 <u>5</u> <u>7</u> <u>9</u>	SRS-1 ILK-1 USP-1 ICK-1 UH-1	5 5 6 7 7
Increase Training/Experience of all categories to improve efficiency and flexibility.	ILK-1 SRS-1 ICK-1 USX-1 UE-1 USP-1	<u>3</u> <u>4</u> <u>4</u> <u>4</u> <u>5</u> <u>5</u>	SLP-1 USP-1 SU-1 ULS-1	4 5 5 7
Turnover/mobility of all staff too low and structure unbalanced (e.g. not enough 'middle-level'). Improve proportion of 'regional' people on staff.	USX-1 ULP-1 ILK-2	<u>4</u> <u>5</u> <u>7</u> 8	ICK-1 UE-1 DR-1 ILK-1	1 2 4 7
2. <u>Groups</u>				
2.1 <u>Boundaries</u>				
Rigidification of boundaries increasing fragmentation to extent that University as a unit is at risk i.e. a series of separate institutes, too little academic interaction.	NTO-1 USP-1 NO-1 ULP-1 NTM-3 UE-1 SLP-1	<u>1</u> <u>2</u> <u>2</u> <u>5</u> <u>5</u> <u>6</u> <u>8</u> <u>9</u> 9	UE-2 NTM-1	2 6 10
Particular effects of fragmentation on planning (creates conservatism, reduced control etc.).	NTM-1 USX-2 DCN-1 SU-1	1 <u>3</u> <u>5</u> <u>9</u> 10	ITC-1 ULP-1 ICK-1 UE-1	5 5 6 9
Balance amongst Faculties/Departments/Schools etc. (i.e. number and size, role, relative powers, intellectual rationale) and difficulty of defining boundaries of some units (e.g. Admin).	ILK-1 ULP-2 ITC-1 UH-2 DCN-2 ULS-4 SU-2 SLP-1 SRS-2	<u>1</u> <u>2</u> <u>2</u> <u>2</u> <u>5</u> <u>5</u> <u>5</u> <u>6</u> <u>7</u> <u>7</u> <u>7</u> <u>7</u> <u>8</u> <u>9</u> <u>10</u>	ICK-2 SU-1 DCN-1	1 6 6 7

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
2.2 <u>Interests</u> Time/effort absorbed in relating differing views of interest groups about nature of University, need for change etc. Increasing conflict/competition, loss of harmony/loyalty/authority and failure to reach agreement due to: -- 'democratic' changes - decline in resources/development - groups abusing or not using powers given to them.	NTO-1 ULS-1 SLP-1 ULP-1 ITC-1	2 5 5 5 5		
	NO-1 ULP-2 DR-1 UE-1 USX-1	1 2 2 6 7 9		
	NTM-1 ULS-2 ILK-1 UH-1	1 2 3 5 6	ULP-1 USX-1 UE-1 ITC-1	1 3 3 7
	NTO-1 USX-1	6 10		
2.3 <u>Other</u> Retention of variety (e.g. no need for all groups to have some organisation, create varied social patterns); complexity caused by activity groups (e.g. Departments) combining functions which are otherwise planned and accounted for separately.	USX-1 NO-1 SU-1	5 6 8 5		
3. <u>Organisational System</u>				
3.1 <u>Constitutional</u>				
Issue of legal autonomy.	ILK-2 USP-1 ICK-1	3 3 6 7	ILK-1	9
Constitutional review (time, effort, need).	ILK-1 USX-1 ICK-1 ULS-2 ITC-1 NO-1	1 1 2 2 5 7 10	USX-2 ICK-1	2 2 5
Too complex (e.g. too difficult to understand or know when a decision is a decision).	ILK-1 SU-1 ITC-1 SRS-2 ULS-1	2 6 6 9 10 10		

A. Internal Components and Pressures	Problems/Issues		Tasks	
	Institution	Respondent	Institution	Respondent
Adapting the constitution and structure to - changes in scale/development rates	ILK-4	<u>2</u> <u>3</u> <u>7</u> <u>8</u>	ILK-1 USL-1 UE-1 DNC-1	2 5 6 10
- external pressure for more lay members and for 'employee democracy' (parallel participation/ negotiation structures).	NTM-1 SU-1 ITC-1 SLP-1 ICK-1 USX-1	<u>1</u> <u>2</u> <u>3</u> <u>6</u> <u>9</u> <u>9</u>	ULS-1 SU-1 SLP-1 ITC-1	2 7 7 9
Over-formalisation, gap between formal and informal realities.	NO-1 SRS-1 ITC-1 USX-1 ICK-1 UH-1	<u>1</u> <u>1</u> <u>2</u> <u>3</u> <u>6</u> <u>6</u>		
3.2 <u>Integration/Devolution</u> Increase devolution/decentralisation in both govern- ance and admin; improve devolution/integration balance.	NTM-1 SRS-2 DNC-1	3 8 9 10	NTO-1 DR-1 NO-1 SLP-1 SRS-2 USP-1 ULS-1 UE-1	2 4 4 6 7 8 9 9 10
Strengthen integration (e.g. increase University central authority's ability to determine priorities, to negotiate etc.).			NTM-1 USX-2 ICK-1 DCN-1	1 2 3 4 9
3.3 <u>Other</u> Balance of Committee/Officer power and duties is uneven and there is insufficient clarity.	NTO-1 SU-1 NTM-1	<u>2</u> <u>5</u> <u>8</u>	NO-1 ULP-1 DR-2 UH-1 SRS-1 ULS-1 ICK-1	1 2 4 5 7 7 8 9
Structure builds in vested interests too strongly; representation/rotation of places make innovation too difficult.	DR-1 ULP-1	2 5	NTO-1 ULP-1 DCN-1 SU-1	2 3 5 7
Improve communications to reduce boundaries and distance (e.g. amongst Faculties/Departments about teaching and research) and to increase 'openness' prior to decisions.	ULS-1 ITC-1 USP-2 ICK-1	<u>4</u> <u>5</u> <u>5</u> <u>6</u> <u>10</u>	USP-1 SU-2 ULS-1 SRS-1 NTM-1	6 6 9 9 9 9

A. Internal Components and Pressures		'Problems/Issues'				'Tasks'			
		Institution		Respondent		Institution		Respondent	
4. <u>Committee Structure</u>									
4.1 <u>Number</u>									
Problems of time consumption at expense of 'work' (e.g. teaching) due to overlaps, repetition, too much paper, too little selection of items etc.		NTO-2	SU-3	1	1	1	2	2	2
		NO-4	SRS-3	3	3	4	4	5	5
		NTM-2	SLP-3	6	6	6	6	6	7
		ITC-2	USX-1	7	7	9	9	10	
		ICK-3	ULS-2	10	10				
		DR-1	UE-2						
		DCN-1	UH-1						
Number and size of committees (including opinions in favour of increase in both and others for reduction in both).		NTM-1	ULP-1	7	7				
4.2 <u>Participation/Democracy</u>									
Extension of student representation; increase behavioural acceptance of students as members, and increase student attendance rates.		NTO-2	UE-1	5	7	10	10	10	
		DCN-1	DR-1						
Extension of non-academic staff representation at all levels; more time/training for those members to read papers etc.		DCN-2	SU-1	6	7	9	9	9	9
		DR-1	UE-1						
		NO-1	USX-1						
Extension of non-professorial academic staff representation; maintain permanent academic staff majority on all main academic bodies.		NO-1	USX-1	5	6	7	8	9	
		DCN-2	ULS-1						
Balance between 'openness/democracy' and 'speed/judgement'.		NTM-3	ICK-1	2	2	3	4	4	5
		DR-1	USX-1	6	6	7	9	9	6
		DCN-2	ULS-2						
		ITC-1	ULP-1						
Cope with 'employee democracy' without parallel structures; and avoid elections being 'political' or 'union'.		NO-2	SU-1	7	8	9	9		
		NTM-1							
		NO-2	USX-1						
		ICK-1	ULS-1						
		ITC-1	UH-1						
		SLP-2							
		USX-1	ILK-1						
		ILK-1	SU-1						
		ITC-1	ULS-1						
		ICK-1							
		NO-2	SU-1						
		ULS-1	ILK-1						
		DCN-1	ICK-1						
		ILK-1	UH-1						
		NO-1							
		DCN-2	USP-1						
		ICK-1	USX-1						
		NO-1	UE-1						
		NTO-1							

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
4.3 <u>Other</u>				
Difficulty of getting committees to reach decisions.	NTM-2 UE-1	<u>1</u> <u>2</u> <u>5</u>		
Main Committees at 'centre' too divided by specialism/interests etc. i.e. no clear focus of authority.	USX-1 UH-1	<u>1</u> <u>3</u>	ULS-1 UE-1	3 5
5. <u>Officer Structure</u>				
5.1 <u>Senior Management</u>				
Adapting roles of senior officers to changes in style/scale of institution.	ILK-3 USX-2 DR-1 UE-1	<u>1</u> <u>2</u> <u>2</u> <u>4</u> <u>5</u> <u>7</u> <u>8</u>	UH-1	6
Senior Officers too powerful/influential.	NO-1 ULS-1 SLP-1	<u>9</u> <u>9</u> <u>10</u>		
Balance of roles and clarity of relations between elected officers (e.g. Rector) and permanent administrators (e.g. Director).	NO-2 DR-1 NTM-1 DCN-1 ILK-1 USX-1 ITC-1 ULP-1 UE-2	<u>1</u> <u>1</u> <u>1</u> <u>1</u> <u>2</u> <u>2</u> <u>2</u> <u>5</u> <u>6</u> <u>8</u> <u>9</u>	NO-2	6 9
Tenures of senior officers (Rectors, Deans) too short; and individuals possess too many roles.	NO-1 ULP-1 DCN-1 ILK-1	<u>1</u> <u>7</u> <u>7</u> <u>9</u>		
Role of senior management in selecting office-holders (e.g. use of judgement/experience).	ITC-2 UE-1 USX-1	<u>1</u> <u>1</u> <u>5</u> <u>6</u>	USP-1	2
5.2 <u>Functions</u>				
Strengthen integration and professionalism of the Administration; adjust it to political change and technology but keep it 'human'.	ITC-1 SU-2 ICK-1 USP-2	<u>2</u> <u>2</u> <u>3</u> <u>5</u> <u>9</u> <u>9</u>	NTM-2 ILK-1 SRS-1 ICK-2 ULP-1 ITC-1 UE-1	2 2 2 2 3 3 3 5 5
Improvement of:				
- management of relations with 'external world' (Government, Press etc.).	ITC-1 SU-1 USX-1	<u>1</u> <u>2</u> <u>2</u>		
- personnel administration (including job evaluation, grading techniques etc.).	NTM-1 ULS-1 ILK-1 UH-1	<u>3</u> <u>3</u> <u>9</u> <u>9</u>	NTO-2 ICK-1 DCN-1 ULP-1	1 3 5 7 9

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
- Admin ability to devise techniques or produce information relating to economising/evaluation (e.g. re-allocation techniques) but to be understandable to academics and sensitive to the University milieu (e.g. genuine lack of objective criteria of need).	DCN-1 USP-2 SRS-1 ULP-2 USX-1 UE-1	2 3 5 5 6 6 8 9	NTO-1 SU-1 NO-1 SRS-1 NTM-1 SLP-1 DR-1 ULS-1 ITC-2 ULP-2 ICK-1 UH-1 UE-1	1 1 2 2 3 3 3 5 5 5 5 5 5 7 7
6. <u>Finances</u>				
Resources insufficient and declining; less predictable; need to economise.	NTO-1 DCN-2 UH-7 NO-3 SU-1 UE-6 NTM-3 SRS-3 USX-2 ILK-1 SLP-2 ULP-3 ITC-3 USP-1 ICK-6 ULS-5	1 1 1 1 1 2 2 2 2 3 3 3 3 3 3 3 4 4 4 4 4 4 5 5 5 6 6 6 6.6 6 7 7 7 7 8 9 9 9 9 9 9 6 10 10 10 10 10 10	ITC-1 USP-2 ICK-1 ULP-2 DCN-1	1 3 4 4 7 9 10
Generate more non-Government income.			ILK-1 UH-1 ULP-1 UE-2	3 3 3 6 10
Technical problems (inflation prediction, tax exemption, accounting controls etc.)	ITC-1 ULP-1 SRS-1 NO-1 SU-1	3 3 5 7 10		
Special costs (regional, age, high cost subjects etc.) not sufficiently recognised internally or externally.	NTO-1 DR-1	4 5		
Inflexibility of resource allocation (historic basis, tenure etc.); turns planning into accounting.	NTM-2 USX-1 DR-1 ULS-1 SU-2 USP-1 SRS-2 UE-1 UH-1	1 1 3 3 3 5 5 6 7 8 8 9 —	DCN-1 ULP-1 SRS-1	3 9 9
Problems of resource planning and budgetting (process, norms, techniques, consensus) with emphasis on need to obtain development despite static or declining budget.	NTM-2 USX-4 ITC-2 USP-2 DCN-1 ULS-1 SU-1 ULP-3 SLP-1 UE-1	1 1 1 2 2 2 3 3 5 5 5 5 6 6 7 7 7 9	UE-3 NO-2 UH-1 NTM-1 USX-3 DCN-3 ULS-2 ILK-1 ULP-2 ICK-1 SU-1 ITC-1 SRS-1 SLP-2	1 1 1 2 2 2 2 2 3 3 3 3 5 5 5 6 6 6 7 8 8 8 9 10
Academic items consume too much of University budget.	NO-1 ULS-1	3 9	SRS-1 ICK-1	4 7

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
Increase proportion of University budget spent on academic (cut non-academic to minimum by improving efficiency).	ICK-2 DR-1 SLP-1 DCN-1 UH-1	5 6 6 7 9 10		
Balance of teaching and research expenditure.	SRS-1 USX-1	2 4		
7. Capital Facilities				
Development of site.	NTO-1 SLP-2 ICK-1	1 2 4 7	NTO-3 UH-2 NTM-2 ULS-1 DR-1 ULP-1 ILK-1 SLP-1 ITC-1 ICK-1	1 1 1 2 2 3 4 4 4 4 4 7 9 9
Problems of functioning on multi-sites.	NTC-1 UH-7 NTM-2 USP-2 ULP-4	1 2 2 3 3 4 4 5 5 5 6 7 7 7 9 10	USP-2	3 9
Space allocation and utilisation (problems and need to create systems).	NTM-1 USP-3 DR-2 ULS-2 ITC-1 ULP-1 ICK-1	1 2 2 3 4 4 5 5 9 9 9 — — — — —	NTO-1 SU-1 NO-1 SRS-1 ITC-1 USP-1 UE-1	2 4 4 4 4 4 5
Need for more facilities for staff and students (residences, creche, transport).	NTO-1 ILK-1 NO-1 ICK-3 NTM-1 USX-1	4 4 4 6 9 9 10 10	NTO-1 DR-1 NO-1 DCN-1 ILK-1 SLP-1	1 5 7 9 10 10
Diversify usage of facilities (e.g. use by other local bodies).	ICK-1	3	NTO-1 DR-1 ITC-2 ULP-1 ICK-1	4 4 4 4 6 6
Maintenance of buildings and estates (insufficient monies; energy conservation; 'Ministry' pressure in favour of contractors not in-house staff- supplies and purchasing policy etc.) Safety and security.	NO-1 ITC-3 ULP-1	2 4 4 4 10	NO-2 SLP-1	4 4 9
8. Teaching				
Staff/Student ratios (too few staff; imbalance of ratios amongst subjects)	NO-1 ITC-1 DR-1	2 6 6		

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
Teaching methods and training of teachers.	ICK-2 SRS-2	7 8 10 10	NTM-1	5
Withdrawal of Professors from teaching/curricula; curricula design and ideology.	SRS-3 NTO-1 SLP-1 DR-1	1 1 2 5 6 6		
Length of degree courses; development of modular degree courses.	DCN-1	9	DR-1 SRS-1 NTM-1 UH-1	2 10 10 10
Develop new courses (preferably income-earning) for new markets (regional, professional, industrial etc.) possibly on part-time, evening work basis etc.	NTO-1 SRS-1 ILK-1 ULP-1	1 3 6 8	ITC-2 UH-2 ULP-1	1 1 3 5 6
Maintain vitality of curricula in traditional subjects (new approaches to them).	DR-1 DCN-1 USX-1	2 6 8	NTO-1 SRS-1 UE-1 UH-2	1 5 7 8 9
Create or maintain inter-disciplinarity (against conformist pressures).	DCN-1 USX-1	6 10	ILK-1 SRS-1 ICK-1	2 8 10
Assessment/Examination system.	ILK-1	10	ICK-1	10
Imbalance of capacity (e.g. between 'science/tech' from 'arts/education') or problems of a particular subject (e.g. Medical School).	ULS-	1	NTM-1	6
9. <u>Research</u>				
Increase priority to research in resource allocation/ staff duties and time (especially since graduate work and research is distinguishing feature of a University).	NTO-1 DR-2 NO-1 DCN-2 ILK-1 SU-1 ICK-2 USX-2	1 2 5 6 6 6 7 7 7 8 8 8	NO-1 ITC-1 NTM-1 SLP-1 ILK-1 ULP-1	1 1 2 5 6 8
Switch research emphasis to work related to the region.			NTO-1 NTM-1 DCN-1	1 5 7
Research costs, facilities and grants (including staff time) needs to be controlled more carefully.	NTO-1 NTM-2	3 3 4	SRS-2 SU-1	3 3 6
10. <u>Other</u>				
Institutional identity (either creation of identity or fighting off conformist pressures to retain individual style and values of University).	NTO-1 SU-1 NTM-1 USX-1 DR-3 ULS-1	1 2 5 6 9 9 10 10	NTO-2 USX-1 NTM-1 ULP-1 SRS-1 USP-1	1 1 4 6 7 8 10

A. Internal Components and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
Coping with expansion/development or trying to obtain marginally more of it.	NTO-4 SU-1 DR-2 SRS-2 ILK-1 SLP-1 ICK-3 USX-1 ITC-2 ULS-2 UH-1 ULP-1 UE-1	1 1 1 2 2 2 2 2 3 3 3 5 5 5 6 6 7 9 9 10 1 1	NTO-1 USX-2 ITC-1 USP-1 ICK-1 UH-1 DR-2	2 2 2 4 5 6 7 9 10
Improve contacts, services etc. to industry/society nationally (whilst retaining autonomy).	NTM-1 ICK-1 DCN-1	5 7 8	ILK-1 SLP-1 ICK-1 UH-3	1 1 2 6 6 9
Survival; need for a period of stability (too much change too quickly).	ULS-1 SRS-2 DR-1 USP-1 DCN-1	3 5 8 8 9 9	SU-1 SRS-2	1 5 6
Quality of graduates and research (maintain/improve).	ULS-1	7	UE-2 USX-1 SU-3 SRS-1 DR-1	1 2 2 3 6 7 9 10
Retain capacity to accommodate the 'exceptional' (scholar, course). Concentrate on the 'human face' of the institution.			SU-1 UE-1	2 2
B. External Factors and Pressures				
1. <u>Parliament/Government/Ministry</u>				
Increased intrusiveness of all three bodies (threatens or reduces University autonomy, creates more work etc.)	NTO-1 SU-2 NO-1 SRS-1 NTM-1 SLP-1 DR-1 USX-2 DCN-1 USP-1 ITC-1 UE-2 ULP-1 UH-1	1 1 2 2 2 2 2 3 3 4 5 5 9 10 10 10 10	DCN-1 ULS-1	7 9

B. External Factors and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
Decline in political and economic priority assigned to universities in national framework (over-politicisation of view of universities).	NTO-2 SU-1 NO-3 SRS-2 NTM-4 SLP-1 DCN-1 USX-1 ICK-1 ULS-1 UE-1 ULP-1	1 1 1 1 1 2 3 3 3 3 4 4 4 5 5 6 8 10 6	ICK-1 USX-3 SU-1	2 3 3 5 9
Need for clearer Government planning of higher education (longer horizons, less uncertainty, related to employment market, stated roles of institutions of different types, size, age, etc.).	NTO-1 SRS-1 NTM-1 SLP-2 DR-2 ULP-2 ILK-2 UE-1 ITC-1 ICK-3 SU-2	1 1 2 2 3 3 3 3 4 4 5 5 6 7 9 10 10 10	DR-1 USX-2 NO-1 SLP-1 ILK-1	1 5 5 7 8 9
Need for a decision on future and structure of the University (held up by 'political' stalemate).	NTM-6	1 2 5 6 7 8	NTM-2	1 2
2. <u>Legislation</u>				
Increase generally in directive legislation threatening autonomy, efficiency and diversity.	NTM-1 ULS-1 ICK-1 UH-1 ULP-1	1 1 4 5 7	DCN-1 NTM-1	4 7
Labour/Security of Employment legislation e.g. increased inflexibility of internal resource allocation, over-complicated management of staff (role of Labour Courts).	NTO-2 SLP-2 NO-2 ULS-1 ITC-1 ULP-1 DCN-1 UE-1 SU-2 SRS-3	1 1 2 2 2 3 3 3 4 4 4 6 6 7 7 9	NTM-1 ILK-1 DCN-1	2 4 9
Health and Safety at Work laws and regulations (complexity, time and cost).	NO-1 SLP-1 DR-1 ULP-1 SRS-1 UE-1	3 4 4 4 4 9		
Sexual Equality Legislation.	SLP-1	9		
3. <u>Public Opinion</u>				
Adverse effect of public opinion on internal morale; need for public opinion to adapt to the changed position of University in national life.	UE-1 UH-2 ITC-2	1 2 2 3 5	DR-1	9

B. External Factors and Pressures	Problems/Issues		Tasks	
	Institution	Respondent	Institution	Respondent
Public's view on students as adults.	ILK-1	10		
4. <u>National Higher Education Authority</u> (or Ministry in absence of such an authority)				
Standard of planning of higher education (instability of plans/procedures, roles of institutions and diversity, etc.).	ILK-2 USX-1 ITC-1 ULS-3 ICK-1 UE-2 SU-1 UH-1 SRS-1	1 2 2 2 4 5 5 5 5 7 7 9 10	NO-1 SLP-1 SRS-1 USX-1 ICK-1	1 1 4 5 6
Autonomy and				
- awarding of qualifications	ILK-2	2 8	ILK-1 USP-1 ULP-1	2 3 5
- decline in specific areas (student numbers, salary negotiations etc.)	NO-1 ICK-2 SU-1 USX-2 SRS-1 UH-1 ILK-1	1 2 2 3 6 7 9 9 10	DR-1 ULP-2	2 9 10
- maintenance of buildings.	NTO-1	4		
- control over line-item expenditure/accounts(eg too detailed, delays too long etc): insufficient virement for institution(eg other ways to meet public accountability.)	NTO-1 ITC-1 NO-1 DR-1 NTM-1 DCN-1 ILK-2 SLP-1 SU-1	1 1 2 2 3 3 3 9 9 9	NTM-1 ILK-1 DCN-1 UE-1	3 3 3 8
Uncertainty about supplementation for inflation.	ITC-1 SU-1	3 3		
Delays/difficulties in reaching agreement on site development/building projects (controls too tight for efficiency, instability of plans/norms etc.).	NTO-2 ICK-2 NO-1 UE-1 ITC-1 SRS-1	1 4 4 4 4 4 4 6		
5. <u>Regional/Local Factors</u>				
Problems of region/locality as a planning or admin tier; time taken to educate authorities about nature of institution and its effects.	SLP-2 USP-1 NTO-3 ULP-2	1 2 2 3 3 4 7 9	SRS-1 USX-1	4 6
Improve services/contacts to region/locality in various ways for mutual benefit.			NTO-4 ULS-1 UE-2	1 1 2 2 2 5 6

B. External Factors and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
Relations with other tertiary institutions in region/locality.	ILK-2 DCN-1 UH-1	1 3 7 10	NTM-2 ILK-1 USX-1 USP-1	1 3 5 5 9
6. <u>Voluntary Associations</u> 'National Universities Council' (e.g. Rectors Conference); effects on diversity and freedom of institutions; role as negotiator/spokesman (e.g. vis-a-vis Government).	NTO-1 DR-1	1 1	NTM-1	5
7. <u>Research Councils/Foundations</u> Insufficient monies allocated by Government to Councils.	ITC-1 USX-1	6 8		
8. <u>Professions/Peers</u> Peer academic groups inhibit experiment/innovation (outputs eventually need external recognition). Attitude of institutions in rest of system (e.g. maintain their respect, cope with antagonism to new institution). Improve relations with the professions.	NTO-2 UH-1 ILK-1	<u>1 5 6</u> 8	ULS-1 UE-1 UH-1	7 1 1
9. <u>Trade Unions</u> Trade Union pressure for dual right to negotiate with University on anything affecting staff and also to represent staff in government and management of the University. Problems/Benefits of unionisation of staff.	NO-2 ULS-1 NTM-1 UH-1 SRS-3 ULK-3 SLP-1 ITC-1 USX-2 ICK-4 ULS-1 UE-1	<u>1 1 2 2 4 9 9</u> <u>10</u> <u>1 1 2 2 3 4 4</u> <u>6 7 9 9 9 10</u>	USX-1 ITC-1	10 9
Collaboration of all Trade Unions in the institution.	ICK-1 ULS-1 DCN-1 UH-1 ITC-1	<u>2 9 9 9 9</u>	NTM-2 ITC-1	7 9 9
Shift of University/Trade Union negotiations from institutional to national level.	ITC-1	9	ITC-2 ICK-1 USX-1 ULS-1	2 3 9 9 9

B. External Factors and Pressures	'Problems/Issues'		'Tasks'	
	Institution	Respondent	Institution	Respondent
10. <u>Demography/Applicant Demand</u>				
Problem of total student numbers.	NTO-2 SU-1 NO-1 SRS-1 DR-1	1 1 1 2 5 6		
Insufficient students for particular courses/subjects.	ILK-1 SLP-2 DR-1 USX-3 DCN-2	2 2 4 5 7 7 7 8 10	SLP-1	1
11. <u>Technology</u>				
Educational Technology.	SRS-1	7		

Opinions

5.1 Change in Speed of reaching final decisions since 1968 on:

1. Analysis by Country and overall

		Denmark		Ireland		Norway		Sweden		U.K.		Overall	
		No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Annual Budget	Increase	-	0	-	0	1	4	-	0	6	13	7	5
	Stable	9	69	14	56	14	58	4	18	23	51	64	50
	Decrease	4	31	11	44	9	38	18	82	16	36	58	45
	Total	13	100	25	100	24	100	22	100	45	100	129	100
Staff Appointments	Increase	-	0	1	1	4	-	-	0	5	11	6	5
	Stable	5	38	7	28	10	42	2	9	14	31	38	29
	Decrease	8	62	17	68	14	58	20	91	26	58	85	66
	Total	13	100	25	100	24	100	22	100	45	100	129	100
Course Planning	Increase	1	8	1	4	1	4	-	0	2	4	5	4
	Stable	6	46	9	36	15	63	6	27	25	56	61	47
	Decrease	6	46	15	60	8	33	16	73	18	40	63	49
	Total	13	100	25	100	24	100	22	100	45	100	129	100
Building Developments	Increase	-	0	-	0	-	0	-	0	4	9	4	3
	Stable	4	31	2	8	4	17	8	36	13	29	31	24
	Decrease	9	69	23	92	20	83	14	64	28	62	94	73
	Total	13	100	25	100	24	100	22	100	45	100	129	100

- Notes:
1. The table illustrates a general decrease in speed.
 2. The differences amongst countries are relatively few; in terms of the direction of change there is an 85% conformity.
 3. In general the less reversible a decision (making tenured appointments, erecting buildings) the greater the decline the speed with which it is reached. It might be hypothesised that the opposite was the case in the expansion of the 1960s.

/...

2. Analysis by Type of Respondent

- Key: 1 Head of Institution
 2 Head of Administration
 3 Officer responsible for Finance
 4 Officer responsible for Buildings
 5 Officer responsible for Planning
 6 Representative of the Professors
 7 Representative of the Lecturers
 8 Representative of the Auxiliary Staff
 9 Representative of the Students
 10 Representative of a Decentralised Unit

5.1 Speed of reaching final decisions since 1968 on:

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
Annual budget:											
Increase	- 0	1 6	1 8	1 8	1 8	- 0	2 15	1 7	- 0	- 0	7 5
Stable	10 67	7 41	1 8	6 50	8 61	8 57	8 62	6 40	8 67	2 33	64 50
Decrease	5 33	9 53	10 84	5 42	4 31	6 43	3 63	8 53	4 33	4 67	58 45
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
Staff Appointments:											
Increase	- 0	1 6	1 8	- 0	3 23	- 0	- 0	1 7	- 0	- 0	6 5
Stable	6 40	3 18	1 8	4 33	3 23	3 21	5 38	4 26	7 58	2 33	38 29
Decrease	9 60	13 76	10 84	8 67	7 54	11 79	8 62	10 67	5 42	4 67	85 66
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
Course Planning:											
Increase	- 0	1 6	- 0	- 0	2 15	- 0	- 0	2 13	- 0	- 0	5 4
Stable	8 53	5 29	8 67	9 75	6 46	6 43	5 38	6 40	5 42	3 50	61 47
Decrease	7 47	11 65	4 33	3 25	5 39	8 57	8 62	7 47	7 58	3 50	63 49
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
Building Development:											
Increase	- 0	- 0	1 8	1 8	- 0	- 0	- 0	2 13	- 0	- 0	4 3
Stable	1 7	2 12	3 25	- 0	5 38	3 21	6 46	3 20	8 67	- 0	31 24
Decrease	14 93	15 88	8 67	11 92	8 62	11 79	7 54	10 67	4 33	6 100	94 73
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
Overall Total											
Increase	- 0	3 4	3 6	2 4	6 12	- 0	2 4	6 10	- 0	- 0	
Stable	25 42	17 25	13 27	19 40	22 42	20 36	24 46	19 32	28 58	7 29	
Decrease	35 58	48 71	32 67	27 56	24 46	36 64	26 50	35 58	20 42	17 71	
Total	60 100	68 100	48 100	48 100	52 100	56 100	52 100	60 100	48 100	24 100	

- Notes: 1. Officer responsible for finance out of line in views on annual budget speed.
 2. Student representatives out of line in views on staff appointments and buildings.
 3. Buildings and Finance Officers out of line in views on course planning.
 4. Student representatives only ones not conforming to overall pattern.

5.2 Changes since 1968:

1.

	V. significant increase 1	Significant increase 2	Slight increase 3	Little Change 4	Slight decrease 5	Significant decrease 6	V. significant decrease 7	
(1) Informal bargaining & activity	2	35	49	30	12	1	-	Replies
	2	27	38	23	9	1	0	%
(2) Time on decision-making	4	46	40	26	13	-	-	Replies
	3	36	31	20	10	0	0	%
(3) Speed of decision-taking	-	3	15	34	59	17	1	Replies
	0	2	12	26	46	13	1	%
(4) Harmony of personnel relations	-	8	32	28	49	12	-	Replies
	0	6	25	22	38	9	0	%
(5) Stability of decisions	-	2	15	52	49	11	-	Replies
	0	2	12	40	38	8	0	%
(6) Continuity of experience	-	5	28	32	40	23	1	Replies
	0	4	21	25	31	18	1	%

2. Changes since 1968

(by country):

		1	2	3	4	5	6	7
		No. %	No. %	No. %	No. %	No. %	No. %	No. %
(1) Informal bargaining & activity	Denmark	- 0	3 23	6 46	1 8	3 23	- 0	- 0
	Ireland	- 0	3 12	14 56	7 28	1 4	- 0	- 0
	Norway	- 0	10 42	10 42	4 16	- 0	- 0	- 0
	Sweden	- 0	6 27	7 32	6 27	3 14	- 0	- 0
	U.K.	2 4	13 29	12 27	12 27	5 11	1 2	- 0
(2) Time on decision-taking	Denmark	- 0	2 15	3 23	5 39	3 23	- 0	- 0
	Ireland	- 0	8 32	9 36	8 32	- 0	- 0	- 0
	Norway	- 0	8 34	7 29	2 8	7 29	- 0	- 0
	Sweden	- 0	11 50	9 41	2 9	- 0	- 0	- 0
	U.K.	4 9	17 38	12 26	9 20	3 7	- 0	- 0
(3) Speed of decision-taking	Denmark	- 0	3 23	2 15	5 39	2 15	1 8	- 0
	Ireland	- 0	- 0	1 4	2 8	20 80	2 8	- 0
	Norway	- 0	- 0	8 33	3 12.5	10 42	3 12.5	- 0
	Sweden	- 0	- 0	- 0	12 55	6 27	4 18	- 0
	U.K.	- 0	- 0	4 9	12 27	21 47	7 15	1 2
(4) Harmony of personnel relations	Denmark	- 0	3 23	6 46	3 23	1 8	- 0	- 0
	Ireland	- 0	- 0	4 16	5 20	12 48	4 16	- 0
	Norway	- 0	2 8	4 17	5 21	10 42	3 12	- 0
	Sweden	- 0	1 5	8 36	3 14	8 36	2 9	- 0
	U.K.	- 0	2 5	10 22	12 26	18 40	3 7	- 0
(5) Stability of decisions	Denmark	- 0	1 8	1 8	6 46	5 38	- 0	- 0
	Ireland	- 0	- 0	1 4	14 56	9 36	1 4	- 0
	Norway	- 0	- 0	6 25	7 29	9 38	2 8	- 0
	Sweden	- 0	- 0	1 5	8 36	10 45	3 14	- 0
	U.K.	- 0	1 2	6 13	17 38	16 36	5 11	- 0
(6) Continuity of experience	Denmark	- 0	1 0	1 8	2 15	6 46	4 31	- 0
	Ireland	- 0	1 4	9 36	9 36	5 20	1 4	- 0
	Norway	- 0	2 8	5 21	2 8	6 25	9 38	- 0
	Sweden	- 0	- 0	4 19	6 27	6 27	6 27	- 0
	U.K.	- 0	2 4	9 20	13 29	17 38	3 7	1 2

3.Changes since 1968 (by category of respondent).

		1	2	3	4	5	6	7	8	9	10	Overall
		No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %
(1) Informal bargaining and activity	Very significant increase	1 7	1 6	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	2 2
	Significant increase	3 20	5 30	3 25	3 25	- 0	7 50	6 46	3 20	3 25	2 33	35 27
	Slight increase	5 33	5 30	6 50	8 67	3 23	2 14	2 15	9 60	7 58	2 33	49 38
	Little change	3 20	6 35	3 25	1 8	7 54	3 22	3 23	3 20	- 0	1 17	30 23
	Slight decrease	3 20	- 0	- 0	- 0	3 23	2 14	2 15	- 0	1 8	1 17	12 9
	Significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	1 8	- 0	1 1
	Very significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
(2) Time on decision-making	Very significant increase	1 7	1 6	1 8	- 0	1 8	- 0	- 0	- 0	- 0	- 0	4 3
	Significant increase	7 47	6 35	4 33	6 50	1 8	6 43	5 38	5 33	5 42	1 17	46 36
	Slight increase	2 13	7 41	2 17	3 25	5 38	5 36	6 46	6 40	2 17	2 33	40 31
	Little change	3 20	2 12	4 33	3 25	4 31	1 7	1 8	2 13	4 33	2 33	26 20
	Slight decrease	2 13	1 6	1 8	- 0	2 15	2 14	1 8	2 13	1 8	1 17	13 10
	Significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
	Very significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
(3) Speed of decision-taking	Very significant increase	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
	Significant increase	1 7	- 0	- 0	- 0	1 8	- 0	- 0	- 0	1 8	- 0	3 2
	Slight increase	1 7	3 18	- 0	1 8	2 15	1 7	1 8	3 20	3 25	- 0	15 12
	Little change	3 20	3 18	2 17	2 17	3 23	5 36	6 46	5 33	2 17	3 50	34 26
	Slight decrease	9 60	10 58	9 75	3 25	4 31	7 50	5 38	4 27	5 42	3 50	59 46
	Significant decrease	1 7	- 0	1 8	6 50	3 23	1 7	1 8	3 20	1 8	- 0	17 13
	Very significant decrease	- 0	1 6	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	1 1
(4) Harmony of personnel relations	Very significant increase	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
	Significant increase	- 0	- 0	- 0	1 8	1 8	- 0	- 0	4 27	1 8	1 17	8 6
	Slight increase	2 13	5 29	3 25	1 8	3 23	2 14	4 31	7 47	2 17	3 50	32 25
	Little change	5 33	2 12	2 17	4 33	3 23	5 36	3 23	2 13	1 8	1 17	28 22
	Slight decrease	7 47	6 35	6 50	5 42	6 46	7 50	5 38	2 13	4 33	1 17	49 38
	Significant decrease	1 7	4 24	1 8	1 8	- 0	- 0	1 8	- 0	4 33	- 0	12 9
	Very significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
(5) Stability of decisions	Very significant increase	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
	Significant increase	- 0	- 0	- 0	- 0	1 8	1 7	- 0	- 0	- 0	- 0	2 2
	Slight increase	1 7	2 12	2 17	2 17	1 8	1 7	1 8	3 20	2 17	- 0	15 12
	Little change	7 46	5 29	2 17	1 8	4 31	6 43	7 54	8 53	8 67	4 67	52 40
	Slight decrease	6 40	8 47	7 58	7 58	5 38	5 36	5 38	3 20	1 8	2 33	49 38
	Significant decrease	1 7	2 12	1 8	2 17	2 15	1 7	- 0	1 7	1 8	- 0	11 8
	Very significant decrease	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
(6) Continuity of experience	Very significant increase	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
	Significant increase	- 0	1 6	- 0	- 0	1 8	1 7	1 8	- 0	- 0	1 17	5 4
	Slight increase	4 27	3 18	3 25	2 17	4 31	3 22	1 8	4 27	3 25	1 17	28 21
	Little change	2 13	3 18	4 33	3 25	1 8	2 14	4 31	8 53	5 42	- 0	32 25
	Slight decrease	4 27	8 47	3 25	3 25	6 46	4 29	3 23	3 20	2 17	4 67	40 31
	Significant decrease	4 27	2 12	2 17	4 33	1 8	4 29	4 31	- 0	2 17	- 0	23 18
	Very significant decrease	1 7	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	1 1

Notes: 1. Approx. 25% of the respondents indicated little change over all the operations, otherwise the broad conclusions are:

Informal bargaining and activity	- Slight/significant increase
Time spent on decision-making	- Significant/slight increase
Speed of decision-making	- Slight decrease
Harmony of relationships	- Slight decrease
Stability of decisions	- Slight decrease/Stable
Continuity of experience	- Slight decrease

2. The main country differences appear to be:

- (a) Increase in informal activity recorded in Norway is significantly higher than for other countries.
- (b) Increase on time spent on decision-making very much higher in Sweden.
- (c) Decrease in speed of decision-making significantly higher for Ireland.
- (d) Reported increase in harmony of relationships in Denmark is contrary to experience in the other countries.
- (e) Slight increase in continuity of experience in Ireland is contrary to responses from other countries.

/...

5.3 Integration of decision-taking:

- (a) In a university academic decisions have financial consequences and financial decisions have academic consequences; has the extent to which both sets of consequences have been considered before a decision is taken improved since 1968 ?
- (b) Are both sets of consequences taken into account constitutionally (i.e. through bodies having both academic and financial authority) and/or administratively (i.e. through officers co-ordinating the business submitted to Academic Boards and Finance Committees).

1. (Country)

		Denmark		Ireland		Norway		Sweden		U.K.		Overall	
		No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
(a)	YES	8	62	19	79	17	71	16	73	33	73	93	73
	NO	5	38	5	21	7	29	6	27	12	27	35	27
	Total	13	100	24*	100	24	100	22	100	45	100	128	100
(b) Constitutionally	YES	9	69	16	67	18	75	17	77	33	73	93	73
	NO	4	31	8	33	6	25	5	23	12	27	35	27
	Total	13	100	24*	100	24	100	22	100	45	100	128	100
Administratively	YES	8	62	17	71	17	71	14	64	33	73	89	70
	NO	5	38	7	29	7	29	8	36	12	27	39	30
	Total	13	100	24*	100	24	100	22	100	45	100	128	100

*excludes one 'don't know'.

Note: The responses reflect a very uniform pattern of development.5.4 Objectives:

- (a) how efficient are the decision-taking structures in directing decisions towards the accomplishment of the institution's basic aims of teaching, research, and public service ?

Very efficient ☐ Efficient ☐ Satisfactory ☐ Inefficient ☐

- (b) has that degree of efficiency since 1968:

Increased ☐ Been Stable ☐ Decreased ☐

1. (By country)

		Denmark		Ireland		Norway		Sweden		U.K.		Overall	
		No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
(a) Efficiency	V.Efficient	-	0	1	4	-	0	1	4	1	2	3	2
	Efficient	2	15	6	24	6	25	3	14	20	45	37	29
	Satisfactory	5	39	16	64	12	50	15	68	23	51	71	55
	Inefficient	6	46	2	8	6	25	3	14	1	2	18	14
	Total	13	100	25	100	24	100	22	100	45	100	129	100
(b) Change since 1968	Increase	8	61	5	20	8	33	9	41	16	35	46	36
	Stable	1	8	17	68	11	46	6	27	25	56	60	46
	Decrease	4	31	3	12	5	21	7	32	4	9	23	18
	Total	13	100	25	100	24	100	22	100	45	100	129	100

Notes: 1. The degree of satisfaction (86%) is remarkably high.

2. The only significant country differences are the Danish rating on inefficiency and the British rating on efficiency.

3. In regard to changes since 1968 the spread of view on the Swedish reforms is apparent, but the increase shown for Denmark reflects the strength of feeling about the level of inefficiency reached in 1968.

/...

5.3 Integration of decision-taking

2. (By category of respondent)

- (a) In a university academic decisions have financial consequences and financial decisions have academic consequences; has the extent to which both sets of consequences have been considered before a decision is taken improved since 1968 ?
- (b) Are both sets of consequences taken into account constitutionally (i.e. through bodies having both academic and financial authority) and/or administratively (i.e. through officers co-ordinating the business submitted to Academic Boards and Finance Committees).

	1	2	3	4	5	6	7	8	9	10	Overall
	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %
(a)											
YES	15 100	16 94	12 100	5 42	8 62	8 57	9 69	10 67	5 45	5 83	93 73
NO	- 0	1 6	- 0	7 58	5 38	6 43	4 31	5 33	6 55	1 17	35 27
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	11*100	6 100	128 100
(b) Constitutionally											
YES	12 80	14 82	9 75	5 42	10 77	10 71	11 85	10 67	7 64	5 83	93 73
NO	3 20	3 18	3 25	7 58	3 23	4 29	2 15	5 33	4 36	1 17	35 27
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	11*100	6 100	128 100
Administratively											
YES	13 87	16 94	12 100	9 75	11 85	7 50	6 43	8 53	2 18	5 83	89 70
NO	2 13	1 6	- 0	3 25	2 15	7 50	7 57	7 49	9 82	1 17	39 30
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	11*100	6 100	128 100

*excludes one 'don't know'.

5.4 Objectives

2. (By category of respondent)

- (a) how efficient are the decision-taking structures in directing decisions towards the accomplishment of the institution's basic aims of teaching, research, and public service ?

Very efficient ☐ Efficient ☐ Satisfactory ☐ Inefficient ☐

- (b) has that degree of efficiency since 1968:

Increased ☐ Been Stable ☐ Decreased ☐

	1	2	3	4	5	6	7	8	9	10	Overall
	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %	No. %
(a) Efficiency:											
V. efficient	1 7	- 0	- 0	- 0	1 8	- 0	- 0	- 0	- 0	1 17	3 2
Efficient	4 27	7 41	6 50	3 25	3 23	4 29	2 15	4 27	2 17	2 33	37 29
Satisfactory	8 53	8 47	6 50	8 67	7 54	7 50	11 85	9 60	6 50	1 17	71 55
Inefficient	2 13	2 12	- 0	1 8	2 15	3 21	- 0	2 13	4 33	2 33	18 14
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
(b) Change since 1968:											
Increase	5 33	6 35	4 33	2 17	2 15	2 14	6 46	11 73	5 42	3 50	46 36
Stable	3 20	7 41	6 50	8 67	10 77	8 57	6 46	3 20	6 50	3 50	60 46
Decrease	7 47	4 24	2 17	2 17	1 8	4 29	1 8	1 7	1 8	- 0	23 18
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100

5.5 Employee Participation

1. Analysis by Country

- (a) Has the degree of participation of personnel other than tenured academic staff in decision-taking since 1968 increased ?
- (b) List in order of importance (1, 2, 3, 4) the following factors as causes of that increase in participation:
- (1) National or state legislation
 - (2) agreements amongst universities collectively
 - (3) internal negotiations with the personnel initiated by the personnel
 - (4) internal negotiations with the personnel initiated by the institution

(a) Increase

	Denmark		Ireland		Norway		Sweden		U.K.		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
YES	13	100	22	88	24	100	22	100	44	98	125	97
NO	-	0	3	12	-	0	-	0	1	2	4	3
Total	13	100	25	100	24	100	22	100	45	100	129	100

(b) Causes

	Denmark	Ireland	Norway	Sweden	U.K.	Total
1234	3		1	2	1	7
1243						0
1324	3		2	6	5	16
1342					2	2
1423	3	4	2	4	4	17
1432	2		4	6	1	13
2134						0
2143						0
2314		1	2	1	4	8
2341	1				1	2
2413		7	4	3	4	18
2431	1		1		1	3
3124						0
3142						0
3412		6	2		9	17
3421		2	5		5	12
3214					1	1
3241						0
4123						0
4132						0
4213					1	1
4231			1		1	2
4312		2			3	5
4321					1	1
Total	13	22	24	22	44	125
No. of different replies	6	6	10	6	16	16
Most common reply	1234/ 1324/ 1423	2413	3421	1432	3412	2413
Total points* 1	46	50	59	80	105	340
for each 2	31	52	58	48	97	286
cause 3	27	54	60	44	125	310
4	26	64	63	48	113	314
Total	130	220	240	220	440	1250

*On a weighting system of 4 for most significant factor, 3 for next, 2 for next and 1 for least significant.

/...

(c) Importance of this increase

(c) has any increase in the degree of participation of personnel other than permanent academic staff in decision-taking since 1968 been:

- (i) the most significant change in University management
- or (ii) one of several major change
- or (iii) a relatively minor change

	Denmark		Ireland		Norway		Sweden		U.K.		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
The most significant change	6	46	-	0	-	0	4	18	1	2	11	9
One of several major changes	7	54	1	5	17	71	17	77	13	30	55	44
A relatively minor change	-	0	21	95	7	29	1	5	30	68	59	47
Total	13	100	22	100	24	100	22	100	44	100	125	100

(d) Motivation of academic staff to participate

(d) Has the increase in the participation of non-academic staff

- (i) increased academic staff motivation to participate
- (ii) not affected that motivation
- (iii) slightly decreased that motivation
- (iv) considerably reduced that motivation

	Denmark		Ireland		Norway		Sweden		U.K.		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Increased	3	23	1	5	3	12.5	6	27	4	9	17	14
Not affected	6	46	21	95	15	62.5	14	64	38	86	94	75
Slightly decreased	4	31	-	0	6	25	2	9	2	5	14	11
Considerably decreased	-	0	-	0	-	0	-	0	-	0	-	0
Total	13	100	22	100	24	100	22	100	44	100	125	100

/...

2. Analysis by category of respondent:

- (a) Has the degree of participation of personnel other than tenured academic staff in decision-taking since 1968 increased?
- (b) List in order of importance (1, 2, 3, 4) the following factors as causes of that increase in participation:
- (1) National or state legislation
 - (2) agreements amongst universities collectively
 - (3) internal negotiations with the personnel initiated by the personnel
 - (4) internal negotiations with the personnel initiated by the institution

(a) Increase

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
YES	15 100	17 100	11 92	12 100	13 100	13 93	13 100	14 93	11 92	6 100	125 97
NO	- 0	- 0	1 8	- 0	- 0	1 7	- 0	1 7	1 8	- 0	4 3
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100
(b) Causes											
1 2 3 4	1	1	1	1	1				1	1	7
1 2 4 3											0
1 3 2 4	1	1	2	1	1	2	2	3	2	1	16
1 3 4 2							1	1			2
1 4 2 3	3	2	3		3	2	1	1	2		17
1 4 3 2	2	3	1			3	2			2	13
2 1 3 4											0
2 1 4 3											0
2 3 1 4	1			1			1	2	3		8
2 3 4 1						1	1				2
2 4 1 3	3	2	2	2	2	1	1	3	2		18
2 4 3 1	1			1	1						3
3 1 2 4											0
3 1 4 2											0
3 4 1 2	2	2		4	1	2	3	2	1		17
3 4 2 1	1	4		1	2	1	1			2	12
3 2 1 4			1								1
3 2 4 1											0
4 1 2 3											0
4 1 3 2											0
4 2 1 3								1			1
4 2 3 1		1				1					2
4 3 1 2			1	1	2			1			5
4 3 2 1		1									1
Total	15	17	11	12	13	13	13	14	11	6	125
No. of different replies											
Most common reply											

(c) Importance of this increase:

Has any increase in the degree of participation of personnel other than permanent academic staff in decision-taking since 1968 been:

- (i) the most significant change in University management
 or (ii) one of several major change
 or (iii) a relatively minor change

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
(i)	- 0	2 12	- 0	- 0	1 8	1 8	1 8	4 29	- 0	2 33	11 9
(ii)	9 60	6 35	4 36	7 58	5 38	5 38	6 46	7 50	5 45	1 17	55 44
(iii)	6 40	9 53	7 64	5 42	7 54	7 54	6 46	3 21	6 55	3 50	59 47
Total	15 100	17 100	11 100	12 100	13 100	13 100	13 100	14 100	11 100	6 100	125 100

(d) Motivation of academic staff to participate:

Has the increase in the participation of non-academic staff

- (i) increased academic staff motivation to participate
 (ii) not affected that motivation
 (iii) slightly decreased that motivation
 (iv) considerably reduced that motivation

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
(i)	2 13	2 12	- 0	1 8	2 15	- 0	4 31	2 14	3 27	1 17	17 14
(ii)	11 73	14 82	9 82	8 67	9 69	11 85	8 61	12 86	7 64	5 83	94 75
(iii)	2 13	1 6	2 18	2 25	2 15	2 15	1 8	- 0	1 9	- 0	14 11
(iv)	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0	- 0
Total	15 100	17 100	11 100	12 100	13 100	13 100	13 100	14 100	11 100	6 100	125 100

/...

5.7 Administration

110.

1. Analysis by Country

(a) Cost

- (a) (i) is the proportion of the University's annual budget devoted to Administration considered too high or too low ?
- (ii) has the proportion of the University's annual budget devoted to administration increased, decreased or been stable since 1968 ?

(i) Cost

	Denmark		Ireland		Norway		Sweden		U.K.		Overall	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Too High	4	31	9	36	7	29	6	27	13	29	39	30
OK	4	31	1	4	5	21	3	14	9	20	22	17
Too Low	5	38	15	60	12	50	13	59	23	51	68	53
Total	13	100	25	100	24	100	22	100	45	100	129	100

(ii) Change since 1968:

Increased	-	0	13	52	10	42	4	18	11	24	38	29
Stable	10	77	11	44	10	42	10	46	18	40	59	46
Decreased	3	23	1	4	4	16	8	36	16	36	32	25
Total	13	100	25	100	24	100	22	100	45	100	129	100

(b) efficiency:

- (i) how efficient are the structures and methodology of the Administration in assisting decision-making towards the accomplishment of the institution's primary functions of teaching, research, and public service ?

Very efficient ☐ Efficient ☐ Satisfactory ☐ inefficient ☐

(ii) has the degree of efficiency since 1968:

Increased ☐ Been stable ☐ Decreased ☐

(i) Efficiency

	Denmark		Ireland		Norway		Sweden		U.K.		Overall	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Very efficient	2	15	2	8	3	13	-	0	1	2	8	6
Efficient	5	39	14	56	7	29	4	18	26	58	56	43
Satisfactory	6	46	6	24	8	33	18	82	16	36	54	42
Inefficient	-	0	3	12	6	25	-	0	2	4	11	9
Total	13	100	25	100	24	100	22	100	45	100	129	100

(ii) Change since 1968:

Increased	7	54	14	56	6	25	10	4.5	25	56	62	48
Stable	4	31	10	40	16	67	10	4.5	19	42	59	46
Decreased	2	15	1	4	2	8	2	9	1	2	8	6
Total	13	100	25	100	24	100	22	100	45	100	129	100

2. Analysis by respondent:

(a) Cost:

- (i) is the proportion of the University's annual budget devoted to administration considered too high or too low ?
(ii) has the proportion of the University's annual budget devoted to administration increased, decreased or been stable since 1968 ?

(i) Cost

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
Too high	4 27	1 6	2 17	2 17	2 15	9 64	6 46	5 33	6 50	2 33	39 30
OK	6 40	1 6	- 0	2 17	1 8	2 14	5 39	2 13	2 17	1 17	22 17
Too low	5 33	15 88	10 83	8 67	10 77	3 22	2 15	8 53	4 33	3 50	68 53
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100

(ii) Change

Increased	9 60	3 18	3 25	1 8	3 23	7 50	4 31	5 33	2 17	1 17	38 29
Stable	4 27	7 41	6 50	6 50	6 46	3 21	6 46	7 47	10 83	4 67	59 46
Decreased	2 13	7 41	3 25	5 42	4 31	4 29	3 23	3 20	- 0	1 17	32 25
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100

(b) Efficiency:

- (i) how efficient are the structures and methodology of the Administration in assisting decision-making towards the accomplishment of the institution's primary functions of teaching, research, and public service ?

Very efficient ☐ Efficient ☐ Satisfactory ☐ Inefficient ☐

- (ii) has the degree of efficiency since 1968:

Increased ☐ Been stable ☐ Decreased ☐

(i) Efficiency

	1 No. %	2 No. %	3 No. %	4 No. %	5 No. %	6 No. %	7 No. %	8 No. %	9 No. %	10 No. %	Overall No. %
V. efficient	6 40	1 6	- 0	- 0	- 0	- 0	- 0	1 7	- 0	- 0	8 6
Efficient	7 47	9 53	7 59	5 42	8 62	4 29	6 46	5 33	3 25	2 33	56 43
Satisfactory	2 13	6 35	4 33	6 50	5 38	9 64	6 46	7 47	5 42	4 67	54 42
Inefficient	- 0	1 6	1 8	1 8	- 0	1 7	1 8	2 13	4 33	- 0	11 9
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100

(ii) Change

Increased	11 73	10 59	6 50	5 42	7 54	7 50	4 30	8 53	2 17	2 33	62 48
Stable	4 27	7 41	6 50	6 50	5 38	7 50	8 62	6 40	7 58	3 50	59 46
Decreased	- 0	- 0	- 0	1 8	1 8	- 0	1 8	1 7	3 25	1 17	8 6
Total	15 100	17 100	12 100	12 100	13 100	14 100	13 100	15 100	12 100	6 100	129 100

6. Respondents' OPINIONS ON PROBLEMS and Issues

- 6.1 The project description produced at the outset contained a list of topics which it was thought would be central to a study of the 'state of the art' in institutional management in higher education in Europe in 1978-9 (one of the suppositions being that the list would have been different in 1968-9 and will be different for 1988-9).

In broad terms the selection was perceptive, however:

- 6.1.1 It proved difficult to differentiate between certain issues e.g. economic uncertainty, provision and productivity.
- 6.1.2 Certain predicted areas turned out to be much less significant than had been guessed; for example, the problems of legislation (other than that concerned directly with institutional government, 'democratisation' and employee relations) were of comparatively less concern than had been predicted.
- 6.1.3 The executive function featured much more significantly. The problems which people were most concerned about were those which faced them daily; such problems tended to be concerned directly with the needs of staff and students and with the conduct of the basic functions of the institution (i.e. teaching and research). There was much less concern about 'policy' and very little concern indeed about 'techniques'. The problems were much more about implementation, and coping with the politics of internal groups, than about the future ranges of options and desired goals. That is not a surprising conclusion but it is one which theorists tend to overlook. University members may be concerned about new legislation, the role of the institution in society and so on, but they are more directly concerned about the work of their office or group, about their teaching or research, about personal advancement, and so on.
- 6.2 The following notes are concerned with the main comments on the topics covered in the description of the project. The views on other matters are dealt with in section 7. In both sections, it is important to remember that all of the institutions are part of a common European cultural heritage, all of them are 'state' institutions (i.e. are either public institutions, or private institutions which could not survive without state approval and funding), and, although the same range of people were interviewed in each institution, the composition of that sample was weighted heavily towards 'administrators'.
- 6.3 Demand Profile
- 6.3.1 There is little doubt that demographic trends have a major and direct impact upon the universities; that much is obvious from the massive expansion of the 1960s and the predictions of contraction for the 1980s and 1990s. In our sample, it was clear that the Irish institutions were concerned mainly about finance, particularly capital resources, and less worried or doubtful about their role than the universities in Scandinavia and the United Kingdom. That difference is very largely accounted for by the fact that population expansion in the relevant age group is continuing in Eire but not in the other countries. One set of

/...

institutions is largely concerned about how to cope with expansion (i.e. how to get the resources to maintain standards) whereas the others are seeking ways to survive when demography makes the roles they have been fulfilling over the past few decades less pressing upon politicians.

- 6.3.2 Policies are framed on the basis of projections, and the instability of the projections over the past decade or so has been a problem in itself for the universities. In the United Kingdom, for example, the projections of student numbers in higher education by the 1980s has been changed almost monthly - and in that process the estimated total has fallen by 25-30%. The target number for the University of Sussex, for example, indicated by the University Grants Committee for the early 1980s varied between 1970-4 from approximately 7,500 students to under 5,000 students; it is difficult for any institution to plan its future in that degree of instability.

However, the problem of projecting demand is not mainly due to demographic factors; it relates to two other factors. Firstly, participation rates i.e. the degree to which a given population will wish to undertake higher education. That participation rate is affected by many factors, cultural and economic; it was, for example, generally felt by our respondents that the state of the employment market had a major and direct effect upon the individual's decision whether or not to enter higher education. Similarly, respondents were of the opinion that governmental policies (e.g. in regard to student loans/grants) could affect the participation rate. Secondly, projections of total student numbers are relatively unimportant since it is the balances between undergraduate/postgraduate studies and between courses or disciplines which are the keys to planning. Hence the debates about 'open faculties' and *numerus clausus* in Scandinavia and about the Arts/Science mix in the United Kingdom.

- 6.3.3 The effects of demographic, employment etc. factors upon the demand profile can be clearly seen in the views of the respondents. The need to create new types of courses to meet new markets (including part-time students), the desire for closer relations with the sources of applicants and with the employers (industry and the professions), the view that the institutions should adjust to new kinds of student - and so on, all indicate an awareness of the problems of the demand profile. The Swedish reforms of 1977 which re-designed first degree courses to fit into broad 'occupational lines' and which liberalised entrance requirements to make it easier for mature employed people to study is the major example of an adjustment to such pressures. In the U.K., the discussion document issued by the Department of Education and Science on student numbers in the 1980s and 1990s was heavily conditioned by the 'demographic' and 'participation' factors and one of its alternative policy paths (Model E) is concerned with the need to attract students from the working population to compensate for the decline in school-leavers.

Thus, with the partial exception of Eire, the pressures of the demand profile were clearly in evidence in the survey. In some institutions there was an overall concern about a sufficient supply of students of quality whereas in others the concern was more about the low demand for certain courses. In contrast with

/...

the USA, there was less of a response on the issue of minority groups; there was a general underlying recognition of the need to increase the numbers of female students, of students from low-income families and, in certain cases, of students from a particular region. But the problems of disadvantaged groups were not a significant feature in the survey.

On the other hand, there was a major concern about the secondary level of education i.e. about the degree of preparedness of school-leavers (particularly in mathematics and science) for higher education as a result of the changes in the structure and curricula of secondary schools.

6.4 New Legal Requirements and Restrictions

As can be seen from the table in Section 5 there is a general feeling, again with the relative exception of Eire, that national legislation has become a much more intrusive and directive force in university management in the past decade. The acts of legislation can be divided into three categories, of which only the first is specifically directed at institutions of higher education.

- 6.4.1 Firstly, laws concerning the roles and management of the university. This category is much less represented in the geographical area covered by this report than it is elsewhere in Europe. In the United Kingdom and Eire it is almost non-existent i.e. there are no 'framework' laws and there have been very few changes in specific University laws; even the Polytechnic sector created in the U.K. in the 1960s has not since been the subject of such legislation. The situation in Denmark and Sweden is different; the Danish laws of 1970-3 and the Swedish law of 1977 created uniform national patterns of university government and management. The extent of detailed direction varies from item to item but the fact remains that it is now the law which governs the appointment of officers, the composition of committees, and the boundaries of authority/responsibility amongst internal bodies.
- 6.4.2 Secondly, laws concerning the employer/employee relationship. There have undoubtedly been the major category across the Area as a whole, though uneven from country to country. As a generalisation they embrace three elements; the employee's role in government ('participation' or 'industrial democracy'), the employee's role in management ('co-determination' or 'negotiation'), and the employee's rights and conditions of work (e.g. security of employment). Taken together, those three elements have had many effects in addition to those for which they were created. In particular, they have diverted a very significant proportion of the institution's prime resource (the time and energy of its staff) from 'work' to 'management'. They have severely restricted the ability to take decisions and to institute change; e.g. the ability to innovate or to adjust the institution to meet new external demands in the steady state is highly-related to the ability to switch the internal allocation of resources, yet increasing the voice of the current employees in decision-taking has reduced the likelihood of reaching agreement on such switches (the actual delegation of the power to appoint certain staff to trade union groups in one institution implicitly recognises the difficulties of joint action within a collaborative framework); and increasing the security of employment

/...

has made such switches impossible except at the margin i.e. the inflexibility of the institution has been very considerably increased.

It should be kept in mind that the project was conducted in the early years of this range of employee legislation; no doubt the laws and their implementation will adjust to need in due course, especially since the different sets of laws often contradict each other in practice. The 'democratisation' and 'co-determination' laws in Sweden, for example, overlap and conflict at points. The 'democratisation' was partly intended to shift authority from 'closed arenas' to carefully-composed committees whereas the effect of the 'co-determination' law was to effectively shift decision-making away from those committees and back to the 'closed arenas' in which the 'trade unions' and the 'administration' negotiate.

- 6.4.3 The third category of legislation is the most varied; ranging from health and safety at work to sexual equality or from privacy and the confidentiality of information to building regulations. Such legislation reflects the general increase in the impact of government upon all parts of society. The respondents referred to some specific problems caused by such legislation but regarded the impact as much less significant than the second category. In general, it was felt that most of the legislation was desirable and the main problem was not the legislation but the failure of government to properly finance its implementation e.g. the cost burden of the new health and safety at work requirements is becoming a major factor in internal resource allocation because extra external finance has not been provided.
- 6.4.4 Under this heading of 'legislation', the project description also hypothesised that the increasing use by members and clients of the institution of litigation to resolve disputes was a significant novel feature of university management. There is little doubt that the hypothesis was accurate in regard to employment matters. In several of the sample institutions, management in the past few years had had to adjust in terms of expertise, time and costs to a situation in which it was contesting several cases at any one time in the Labour Courts or Industrial Tribunals. The problem in other aspects of university life was less widespread. Examples were found of increases in litigation between institutions and external parties (e.g. contractors re building works) and students (e.g. students seeking redress for poor or unfair assessment of their work) but the trend was not as universal as that in employment matters, and its roots lay not in legislation but in the break-up of the internal consensus and authority.

6.5 Public Accountability

The project description expressed the view that the demand for the university to be more detailed and open in its accountability to the public has developed considerably, not only in respect of relations between higher education institutions and governments but also regarding relationships with professional groups, local communities etc.

- 6.5.1 There is little doubt that the increased scale of higher education and the state of national economies has led to an increase in

/...

public accountability in the narrow sense of that term i.e. the institution's accountability to Parliament for the expenditure of public monies. The Swedish reforms of 1977 were in large measure concerned with resource/organisational systems which would increase Parliament's ability to understand the expenditures and activities of the universities. In the United Kingdom, the extension of the role of the Comptroller and Auditor General on behalf of Parliament into the universities, the placing of the polytechnics under local authority control, and the increase in the 'information' which the University Grants Committee collects from universities are all indicators of that increased demand for public accountability. The requirement for institutions in Norway to obtain Ministry approval for very minor switches of monies between headings in the budget is a further example. However, the views of respondents on the increase in public accountability in its narrow sense were mixed. There were a few who decried the loss of the privacy of the small-scale relatively inexpensive 'quiet' institutions of the 1950s and who still hoped to maintain that privacy in the changed institutions of the 1970s; but the majority recognised the legitimacy of the demand and the need for the institutions to respond positively. In general, the problems were about means not purposes. There was a general complaint about the wastefulness of strict controls and unnecessary information-collection i.e. the machinery of accountability itself diverted resources from productive activity to 'bureaucracy', and restricted the taking of initiatives within the institution which might lead to greater efficiency. The difficulty therefore seems to be how to provide the State (Parliament/Government/Ministry) with the information and controls it needs without creating unnecessarily elaborate and restrictive controls. The use of bodies such as the University Grants Committee in the U.K. or the Higher Education Authority in Eire is seen as part of that answer. Similarly the use of broad norms for control purposes rather than the detailed management of higher education budgets at the national level is seen as another part of the answer (e.g. provided institution X is within acceptable bounds for its expenditure per student or per staff etc. is it necessary to seek Ministry approval to switch a small sum of money between items ?).

- 6.5.2 However the term 'public accountability' also has a much broader sense of the institution giving account of itself to society at large. The demand for such accountability or information grew tremendously in the first half of the period covered by the project (i.e. 1969-73) partly because the rapid expansion of the 1960s, the increased economic importance of higher education, the student political troubles of 1968-9 and so on; in that period, responding to the demand was usually regarded as an irksome necessity, particularly when dealing with the news media about student activity. In the second half of the period (1974-9) the emphasis has in broad terms switched; the demands from society have either stopped increasing or have declined whereas the desire within the institution to express itself outwards to society has increased. The reasons for that change are not difficult to perceive. They include the fact that members now appreciate more that each higher education institution has to fight publicly to retain its resource share in view of the current economic circumstances and predictions. In all of the countries in the sample, it was felt that the decline in the priority given to universities by politicians could only be halted or reversed by

/...

the university making its case more clearly to a variety of its publics. As the tables in Section 5 illustrate, respondents clearly feel the need to develop closer relations with regional and civic authorities, with industry, with professional groups, with the media etc. Such responses were made for a variety of reasons; in some cases they reflected a previous impact of public accountability (e.g. the regional emphasis in higher education development being partly on public accountability grounds it is not surprising that those new regional institutions wish to foster that accountability), in other cases they related directly to functional activities (e.g. wishing to have closer links with a particular profession in order to improve the quality of curricula or teaching) but in all cases they reflected the desire to improve the understanding of the institution in society at large. The growth in the number of Information Offices in the Universities in the United Kingdom from virtually none in 1968 to almost every institution in 1978 is one indicator of that trend.

As in the case of the narrower definition of public accountability, the problem was perceived by respondents as mainly one of method or means i.e. how to obtain full interaction between the university and its various publics without generating unnecessary external interference. The practice in the U.K. of the involvement of external members in large numbers on the Courts of the universities and in smaller numbers on the Councils of the universities was thought to be one way of achieving that balance; similarly the publishing of annual reports (including reports on teaching and research as well as the accounts and other quantitative information) by institutions which are freely available to the public is regarded as an essential step towards discharging public accountability in its widest sense.

6.6 Autonomy

6.6.1 Autonomy is one of the most frequently referred to terms but is one of the most complex notions; there exists a considerable difference between legal autonomy and effective autonomy. A university can have the legal autonomy to admit whatever students it wishes in whatever numbers but if those students cannot be financed because the state intervenes or fails to intervene (e.g. in respect of student grants) then the effective autonomy is severely reduced. Autonomy is thus a relative term. The Scandinavian universities feel to be autonomous because the developments of the 1970s have increased their freedom of action in certain respects, whereas the British universities feel that their independence is being eroded beyond the bounds of the acceptable; yet in terms of the current state viewed objectively the British universities remain significantly more autonomous than the Scandinavian universities i.e. there is a considerable distinction between perception and reality.

6.6.2 Part of that distinction relates to the conceptual bases of national systems. The British universities regard themselves as individual institutions which form a system only for certain restricted purposes. The pattern in the other countries is almost the opposite i.e. the natural order is the common system from which departures can occasionally be allowed in the light of particular circumstances. Thus, for example, although the

/...

Universities of Manchester and Leeds were once part of the same federal institution, were founded at approximately the same time in northern industrial cities and have functioned in the same national environment, the differences in internal organisational structure between them are greater than between one of them and R.I.T. Stockholm or the University of Oslo, and immeasurably greater than between any two universities within other national systems.

It has to be clearly recognised that an essential element in those national systems is that they are conditioned by the scale of the country. The fact that issues concerning particular institutions are raised in Parliament or in the corridors of Ministries by interested parties is to a considerable extent a function of scale. Being one of sixty institutions in a nation of 50 million people must make it less likely that you will feature in the discussions of the supreme bodies of the state than if you are one of six institutions in a nation of 5 million people.

- 6.6.3 Autonomy tends to be an issue in these situations in which it is easy to demonstrate a comparative lack of it. The inability of an institution of higher education to accredit its own awards is a particular source of grievance, as the project responses indicate in relation to the British polytechnics for example. Similarly, the complaints about a decline in autonomy do not relate to some absolute or optimum standard but simply to what had previously pertained. In terms of the basics of university life (i.e. the appointment of staff, the selection of students, the laying down of curricula, the choice of teaching methods, the undertaking of scholarship and research) all of the universities in the Area retained effective autonomy. However, there was undoubtedly a feeling of either a real loss of autonomy or an impending loss in regard to non-academic matters (if autonomy is a correct term in that context); for example in regard to those administrators concerned with sites and buildings it is undoubtedly the case that central national authorities have increased the degree of control (often at the risk of efficiency) over planning, construction and maintenance. In other cases, however, it is the provision of finance rather than the status of autonomy which is the key factor. Members complain about a lack of autonomy when Governments take decisions which they don't like i.e. there was little complaint about the lack of autonomy in the 1960s when Governments changed plans, procedures, timetables etc. to inject more resources into the institutions in order to cope with the expansion; yet similar Governmental changes to plans and procedures in order to cope with economic stringency immediately raise the spectre of autonomy.

- 6.6.4 The degree to which the institutions have voluntarily surrendered autonomy is very much related to the nature and scale of the national system of higher education. In Norway, for example, the four universities probably feel that they can achieve better results by direct bargaining with the Ministry than they could through the creation of one agency for bargaining purposes i.e. the former allows special pleading to which the Ministry might well be more sympathetic than the sister institutions. The situation is similar in Eire vis-a-vis the Higher Education Authority. In contrast in the U.K. system, which is both larger and constitutionally more independent, the universities have

/...

created voluntary inter-institutional associations to which they have surrendered a significant degree of autonomy. The Committee of Vice-Chancellors and Principals is not only a spokesman for the universities collectively but an umbrella organisation for a series of executive bodies concerning admissions, student records, employment negotiations etc.; in those and other fields the governing bodies of each university have surrendered sovereignty for a 2% - 3% voice in policy formulation for the system as a whole. It should be noted that the fields in which autonomy has been voluntarily surrendered are largely those in which if institutional differences had been maintained Governmental action might have eroded the autonomy of the system.

6.7 Scale

- 6.7.1 The question as to whether the increase in the number and sizes of higher education institutions have had major effects upon university management has already been largely answered. The legislation on the universities, increased public accountability, adjustments to autonomy, increased attention to resource allocation etc. of the 1970s were direct consequence of higher education expansion of the previous decade. There is thus little doubt that the increase in the number of higher education institutions increased the public focus on higher education and complicated the problems of co-ordination. The complaints of respondents about the states of national planning need to be seen in that light i.e. a significant part of the problem of planning was caused by the increase in the number of institutions.
- 6.7.2 The impact of the increase in the size of individual institutions is less easy to assess. In the Area covered by this report it is not a major issue since the majority of the institutions are small-scale, indeed a significant number of them require further expansion to be fully viable.

It could be hypothesised that many of the problems listed in the table of respondents' opinions in Section 5 are related to size i.e. that increases in scale make problems of boundary definition more difficult, make it harder to adjust the integration/devolution balance, lead to the diminution of internal cohesion and consensus, and increase complexity; whereas, on the other hand, increases in scale should facilitate the usage of expensive techniques, improve the opportunities for the re-distribution of resources and enterprise etc. In practice, very little evidence of the impact of scale emerged from the project, partly because the external pressures do not vary with internal scale and partly because of the nature of activity within universities (e.g. the small institution is as pluralistic as the large one). Characteristics other than scale appear to be more important in university governance and management; age and tradition, for example, are important conditioners of the form and style of decision-taking. Despite national differences, the organisational milieux of Uppsala, Edinburgh and Dublin or of Limerick, Linköping and the Polytechnic of Central London, or of Heriot-Watt, N.I.T. Trondheim and R.I.T. Stockholm have considerable similarities based upon age and tradition. Closely related to tradition is the effect of the balance of disciplines, of the undergraduate/postgraduate ratio and of teaching and research. For whatever

/...

reason the organisational environment of a technological institution is considerably different from that of an institution dominated by the humanities and social sciences; in the former it is easier to define boundaries it takes less time to reach decisions, authority is more visible and accepted and cohesion is easier to attain.

Thus in this sample, scale had much less effect than had been surmised at the outset. Even in those few cases where individual respondents ascribed problems to scale (e.g. increase in complexity and loss of consensus) it was mainly a matter of changing scale rather than absolute size (i.e. of adjusting to an increase or decrease in scale).

6.8 Effects of Economic Uncertainty

- 6.8.1 The level of funding is predictably the most common and pressing problem in all of the institutions, in respect of both capital and recurrent funds. That is clear from the views of all categories of respondent whether it be the students concerned about the levels of grants/loans, ancillary staff perturbed by the lack of facilities, finance officers wishing to attract more non-government funds, professors concerned about the funding of research, planning officers grappling with resource allocation or chief administrative officers attempting to control the internal political struggles for the scarce resources.
- 6.8.2 However, the project was more concerned to look at the problems of increased economic uncertainty, partly because the level of funding is a perennial problem whereas the uncertainty of the 1970s contrasts sharply with the relative certainties of the previous decade. The uncertainty stems from a variety of causes but principally the deteriorating state of national economies, the unpredictable and high rates of inflation, the national political swings and the decline in the political priority accorded to institutions of higher education. There is no doubt about the extent of the increase in the uncertainty; there are differences in degree amongst the countries but in general the planning horizons have shortened and become less stable, and systems which required a certain degree of predictability (e.g. the British quinquennial process) have collapsed. In all of the countries the cash sums of the annual budget are not known until almost into the financial year and are subject to adjustment during the year; also the cash sums are of less utility for budgetary purposes when wage rates and inflation rates for the year are unpredictable, and when it is not known whether the Government will supplement (and to what extent) the university's budget to compensate for increases in those rates.

The effects of the uncertainty are evident in the responses of the people interviewed during the project. The plea for greater stability and for clearer processes of planning at the national level was widespread. The loss of morale amongst members and the loss of the institutional will to continue the struggle to plan were evident from the respondents. Institutional planning mechanisms had been largely developed in the confidence and apparent predictability of the 1960s and they could not cope in the changed circumstances of the 1970s. In the United Kingdom in particular, the inflation-led crisis of 1973-5 saw universities

/...

switch from the planning systems of the 1960s to the good house-keeping practices of the 1930s. Economy drives replaced resource allocation formulae, and the siege mentality replaced the exuberant confidence of the previous decade. The comparative swiftness of the shift in the environment, from clear forecasts of expansion and the maintenance of resource standards to monthly uncertainty, stagnation and economic cuts, outdated the institutional mechanisms. However, in the period since 1977 there are signs that the institutions have been making adjustments to the new circumstances. The decision-taking bodies have begun to accept the realisation that flexibility, development, innovation etc. can only be achieved by reducing the amount of resources devoted to some activity in order to increase the amount devoted to others; thus mechanisms for reviewing existing commitments and for generating savings from economy measures have emerged in most institutions (throughout the Area there are significantly fewer light bulbs burning for considerably less time than was the case ten years ago; throughout the Area the resignation of a faculty member is no longer the occasion for a brief discussion as to whether or not a more senior appointment can be made in replacement, but is the start of a serious analysis concerning the need for a replacement and of a fierce discussion amongst representatives of groups as to which should be given the post if it is to remain in being - many more examples of economies and reviews could be cited).

The desire to enter or expand new markets, for example that expressed by the respondents in relation to student admissions, is the other arm of the approach to the problem i.e. not only to increase the level of funding but to reduce the impact of uncertainty through a greater diversification of clients.

6.9 Complexity

6.9.1 The question is whether higher education institutions have undergone a rapid growth in complexity since 1968 and whether that has presented new management problems. The respondents certainly expressed the view that complexity had increased and was itself a major problem (e.g. more time and effort was now needed to understand what was happening in the university and who was involved in which spheres of decision-taking; also the complexity hindered the reaching of decisions). The extent of the response was bolstered by the high rate from Sweden and, in view of the very major organisational changes introduced in the country in 1977, it is not surprising that people still find the structure complex.

6.9.2 However, it first needs to be recognised that institutions of higher education are by their nature complex structures. They are multi-functional (teaching, research, public service). They need structures which facilitate a high degree of specialisation but which pool knowledge and encourage inter-group activity. They have to provide an environment in which academic freedom can flourish yet finance that environment from public or commercial sources. They are evolutionary in form with layers of tradition each containing its own style and mystique whilst functioning in the present. The nature of their activity and traditions creates a milieu in which it is difficult to distinguish the co-habiting forms of the organisation, the institution and the community. Thus, for those and other reasons, the University is a complex entity. That complexity is related to nature not scale (at least below the 20,000

/...

student level which is the limit of this report); the internal structures of small institutions experimenting in interrelationships (e.g. NIHE Limerick, PCL London) are frequently much more complex than the structures of institutions which are several times larger (e.g. Leeds which retains the University-Department axis as the dominant channel).

- 6.9.3 Nevertheless it is possible to concur with the view that the degree of complexity has increased. That is particularly the case with the institutions covered in the sample dealt with in this report. Over half of the sample consists of institutions created since 1960 and nearly all of those institutions have experimented with structures related to the activity innovations being pursued (e.g. the School of Studies and inter-disciplinarity at Sussex) - yet the nature of the academic profession has required that the secure semblance of traditional forms (e.g. Faculties, Departments) should also be present in those institutions; thus the total pattern is more complex than that of the traditional university.
- 6.9.4 However, other factors common to old and new institutions have tended to increase the complexity in the 1970s. Those factors are dealt with under other headings in this section but in the main they can be illustrated under three categories. Firstly, policies of governments concerning universities and their organisation. The Danish Laws of 1970-3 provide one example but the Swedish reforms of 1977 are the prime example; those reforms, for example, impose aim-oriented programmes (with separate funding arrangements, committee compositions etc.) upon the traditional Faculty - Department pattern; whatever the eventual judgement is on their success or utility it would not be contested that they have increased the complexity of structure and decision-taking.

Secondly, the politics of labour; without repeating what is stated elsewhere, it appears to be the case that the increase in security of employment (and related employment matters) has complicated decision-making but it is the implementation of 'industrial democracy', 'co-determination', 'Trade Union negotiation rights' etc. which has made the structures more complex. Whatever the merits of those latter developments and despite the various national differences of emphasis or style, the internal organisational structures of higher education institutions have been made much more complex by the creation of a separate 'bargaining' sector running parallel with the traditional decision-taking structure.

Thirdly, the impact of the increased wish of all members of an institution to be involved in decision-taking, whether it be as a full member of a committee or simply a demand to be kept more fully informed. Whatever its form ('democratisation', 'participation', 'devolution' etc.) this trend has also made the situation more complex by increasing the number of bodies, multiplying consultation channels, expanding the sizes of committees and so on.

At this point in the report, value judgements about the trends which have led to the greater complexity are not being made; it is simply being stated that 'democratisation', for example, has increased complexity; whether 'democratisation' is on balance valuable or desirable is not being questioned.

/...

- 6.9.5 It is less easy to point to new problems caused by the complexity; in the main it has been the new problems which have caused the complexity. However, the respondents were very clear on the major consequence of the complexity i.e. a quite massive consumption by the organisational machinery of the key resource of the institution i.e. the time and energy of its members. There was virtually no disagreement on that subject. The experience has clearly led many people to draw the conclusion that the causes of the complexity are not worth the consequences of it i.e. the drain of time away from teaching, research and supporting activities is too high a price to pay. However, even those who favour policies such as 'democratisation' or 'co-determination', and who have fought hard for them, were dismayed by the resulting complexity and time consumption; they felt that individual representatives would not be prepared to continue to devote so much of their time to attempting to understand the structure, reading background papers, lobbying other members, attending meetings and so on. The degree of personal investment needed in order to be able to contribute to decision-taking in such a complex structure, and the alienation caused by the confusion in the structure, might combine to ensure that the people who were genuinely interested in the activities of the institution (e.g. who enjoyed teaching, researching, organising libraries) withdrew from participation in the structures responsible for the decisions which govern those activities.

6.10 Internal Cohesion

- 6.10.1 It was hypothesised that in earlier times university governance and management was facilitated by the existence of a broad internal consensus based upon liberal values, an acceptance of partial representation, a recognition of expertise and experience and a belief in the unity of the institution. But that with the breakdown of that consensus, cohesion has lessened and governance became much more difficult.

Although that generalisation suffers from over-simplicity, the interviews do seem to indicate that the degree of internal cohesion has been reduced since 1968.

- 6.10.2 The reasons for that reduction are manifold but the following were put forward by respondents. Firstly, the declines in the certainty of purpose and national political priority i.e. the greater uncertainty increases the range of alternative policies and helps to fragment opinion. Secondly, the comparative decline in the availability of resources has obviously led to greater internal competition and inter-group struggles i.e. has reduced cohesion. Thirdly, the widening of the involvement in governance to categories who do not fully share the liberal values and who are not bound by professional and community ties (e.g. in general, academics who have to live and work throughout their careers with fellow academics are less likely to dissent, or to carry disagreement to extremes of action, than are students or auxiliary staff who do not share those professional ties and are less permanent members of the institution).
- 6.10.3 The effects of the loss of consensus and the reduction in cohesion are more difficult to assess. Respondents pointed to class struggles

/...

and suspicions (not simply students v staff but administrator v academic etc.), increasing fragmentation with lower contact between academic units (e.g. the tendency for Faculties and Institutes to go their own way in the absence of a clear institutional unity of purpose or aim), increased consumption of time in attempts to resolve differences of opinion and conflicts of interest, alienation of staff leading to apathy (e.g. failure of individuals and groups to make full use of the roles in governance), and so on.

Whatever the reasons and effects, it is clear from the opinions of those most involved at the institutional level that there exists a definite feeling that it is increasingly difficult to maintain commitment to the institution rather than its component parts or to rely upon shared beliefs amongst members i.e. the task of the senior officers and managers in the maintenance of a necessary level of cohesion is one which requires considerable skill and effort.

6.11 Management/Employee Relations

- 6.11.1 The early paragraphs in this section have dealt with many of the issues under this heading (e.g. the impact of employment legislation). A related concern has been that of the unionisation of staff; views on the benefits of unionisation are mixed but there is agreement that it has altered management/employee relations, made arbitrary change by management (i.e. governing bodies) much more difficult, and increased the stress and load upon the administrators.
- 6.11.2 However, the responses were much more concerned about the more fundamental aspects of employee relations. Staff are the major and primary resource of universities. Their motivation, skills, experience, development and flexibility are conditioned by morale, training, salary levels, career advancement prospects etc.; and it is the management of those factors which have become more difficult and onerous, partly because of the increase in scale, partly because of the loss of expansion or the decline in funding standards, partly because of legislation (e.g. senior staff are more reluctant to give advice to junior staff or to take decisions which discriminate between staff now that they might find themselves having to defend their actions in a Labour Court) and so on. The problems of the management of staff in the new environment of the university is perhaps the most pressing concern of staff at all levels in the institution.

6.12 Productivity

- 6.12.1 Has the increased national investment in higher education led to pressures for increases in productivity in teaching and research? Very few respondents raised this issue directly; in large measure it would have meant repeating the comments made under the heading of 'economic uncertainty'.
- 6.12.2 Also, with the partial exception of Eire where expansion remains a major issue (and productivity or the lowering of unit costs is directly on the agenda), governments have been more inclined to stabilise or reduce resource standards in the universities

without direct reference to productivity i.e. the ruling factor has been the total amount of the investment not the cost per unit. It also needs to be kept in mind that in most countries governments have attempted to resolve the productivity element by placing a higher proportion of the students in institutions other than universities. Whatever the other reasons for the development of polytechnics and regional colleges, a major reason must have been an assumption that unit costs per students would be significantly less than in the universities (whether that assumption has been justified is a different matter). It is undoubtedly the case that pressures to increase productivity in the universities were strong in the period 1968-72 when the projections of student demand were still pointing towards massive expansion but in more recent years it has been much more a case of freezing the real income of universities.

- 6.12.3 Whatever the motivating or announced policy, the effect has been to require an increase in productivity but in the universities it has been seen as a problem of economising not productivity; thus, for example, universities have tended to economise wherever they can rather than by relation to concepts of productivity.

6.13 Conclusion

The purpose of this section has been to comment, on the basis of the interviews, on those problems and issues which were identified at the outset of the project. The following section is a less constrained summary of the impressions and views arising from the studies of the project.

7. ISSUES

7.1 Introduction

- 7.1.1 The comments in the previous section on the issues and problems of institutional management were based upon the views expressed by the people interviewed during the country visits. This section contains the more personal reflections of the Area team.
- 7.1.2 It is immensely difficult to draw conclusions of significance on the basis of a brief exposure to the diversity of institutional structures and procedures in a variety of national backgrounds. It is relatively easy to compare national systems; it is also relatively easy to compare the role of the individual teacher or researcher; but it is more difficult to compare meaningfully the policies and activities at the institutional level.
- 7.1.3 Universities are delicate instruments of enduring substance and permanent values possessing malleable structures. They are the repositories of tradition and the kindergarten of change. They house a variety of interests and a complexity of aims. But their basic purposes are simple i.e. to advance and transmit knowledge.

It is the reinforcement of that basic simplicity, and of the need to keep priorities geared to those purposes of teaching and research, which is uppermost in our minds at the end of

/...

our visits to the universities. The complications stem from the institutions' usage of public resources and its impact upon society. Throughout Europe the universities house internal conflicts about those latter matters, and they are fighting a public opinion which is formed by those secondary issues. The debates surrounding the universities are about social, economic and political factors. For example, they are regarded as luxuries by many and as dangerous agencies by a few; neither view is based primarily upon their teaching and research but upon the resources they consume and the internal social milieu. No one should doubt that the university needs to be able to justify its activities to society and to be accountable for the resources it consumes, but the discussion should be in terms of the quality and utility of teaching and research.

7.2 People

- 7.2.1 Leading on from that main impression about the need to stress the paramountcy of teaching and research is the equally obvious conclusion that the important events in universities occur in the lecture theatre, the seminar room, the laboratory, the library etc. rather than in committee chambers and administrative offices: obvious though that is, it is too frequently the case that both internal and external 'management' discussions overlook the fact that their function is to optimise the effectiveness of the points at which knowledge is created and transmitted.
- 7.2.2 A concentration upon teaching and research leads directly to a recognition that the universities are people-dominated. Although the universities create technology they are themselves labour-intensive enterprises. People are the prime resource; a university's effectiveness and reputation are almost exclusively formed by the quality of its members. The internal governance is more a matter of people than procedures. The external relations of a university are mainly a matter of the links and communications of its members with the outside world. Management improvement is similarly a matter of investing in people (training etc.) not techniques. The costs of salaries and wages make up a substantial majority of the institution's expenditure. The university's ability to change, to be flexible in response to changes in demand to which the usage of staff can be re-directed. Thus, although the extensive capital investment in universities should not be overlooked, and although structures, procedures and techniques are both essential and important, it needs to be stressed that they exist to serve people, not vice versa, and their design is secondary to the quality and motivation of the members of the University.
- 7.2.3 It is for those reasons that the internal administration of the universities needs to be kept firmly in the hands of the experienced generalists who understand both the nature of the institution and the concepts of management. Theorists and technocrats can be dangerous if they are too dominant in administration. Similarly, academic staff without an understanding of management need to be given administrative responsibility with caution; for example, everything which has been inflicted upon the universities by the outside world has at some time been previously

/...

advocated by some academic member.

Thus, whilst governance is a matter of involving many different categories and classes of people, it is suggested that the key roles in administration need to be filled by people (academics and administrators) who combine experience and sympathy with the institution and academic life with possession of broad management skills.

7.3 National

7.3.1 This project is concerned with management at the institutional level but that is influenced heavily by the national structure and environment within which the particular institution resides and functions (especially since all of the institutions visited were state-financed).

7.3.2 Some of the differences created by national influences are unavoidable, being related to factors such as the size of the country (in a small country with 3 or 4 institutions it is more likely that central government and its agencies will be able to exercise more detailed control and interest than in a larger country with 50 or 60 institutions e.g. in the appointments made to individual posts) or to the particulars of the national demographic and economic trends (e.g. the problems at the institutional level in Ireland, with a rising young population, one to a degree different from those in the United Kingdom with a declining young population).

A further set of differences stems from the politics and culture of the nation; the regionalism which has affected the locations and roles of institutions of higher education in Norway and Sweden, for example, is part of a political or development policy of much wider application than higher education.

7.3.3 The differences referred to in 7.3.2 are sufficiently obvious and numerous not to be dwelt upon but they naturally lead to different national policies on institutional management in higher education. Those latter differences are not as great amongst the countries covered in this report as they would be in comparing universities in Northern and Southern Europe; nevertheless, they exist. The degrees of autonomy which an institution possesses either legally or administratively in relation to the usage of resources, appointments, curricula etc. are obviously a key determinant of the style of institutional management - yet it is not possible to fix those degrees of autonomy without reference to the national characteristics. Thus, any suggestions or recommendations in this report are of a highly generalised nature which would need to be adjusted by readers to the context of a particular institution in a particular country.

7.4 Basic Factors and Diversity

7.4.1 In addition to national characteristics, the structure and style of institutional management is also affected by a range of basic institutional factors. The age and history of the university, the size, the physical location and dispersion, the balance of disciplines and so on each exert influence. Those factors

/...

again make it difficult to be too emphatic about general recommendations on institutional management. The following two examples will suffice for purposes of illustration.

- 7.4.2 Institutions such as Uppsala, Edinburgh and Trinity College Dublin have been shaped by centuries of tradition; they embody the values of university life and work in forms and styles of government and administration which have adapted to the varying demands of society over the years. Those institutions need to be cherished (they nurture and transmit the culture); of course they should continue to adapt to external change but an over-insistence on adherence to structures and procedures common to newer institutions would put at risk the essence of those older universities; and that essence cannot be re-created or replicated. In many cases it is simply a matter of allowing a retention of form (e.g. of accepting traditional titles for activities or bodies) but occasionally it means accepting that those institutions cannot incorporate new procedures as rapidly as other universities etc. It does not mean accepting conservatism in the outputs of those institutions.
- 7.4.3 Similarly, institutions which have been given roles additional to the normal basic purposes of higher education need to be allowed to relate their institutional management to those roles. The development role (e.g. opening up new geographical regions, correcting national economic/geographical imbalances) of universities is recognised in the Third World but it also exists in Europe. The University of Tromsø performs such a role. In those circumstances the governance, financing etc. of the institution should be adjusted to that additional role.
- 7.4.4 The foregoing amounts to a plea for the maintenance of a necessary and valuable diversity in the management of institutions of higher education. National characteristics will always result in the existence of a basic degree of uniformity (e.g. the budgetary processes of Trinity College, Cork and Limerick are much more similar than any of them are to the processes of any of the other fourteen institutions covered by this report.) The basic factors of age, scale, roles etc. will also result, given the common European tradition, in close affinities across national boundaries. The organisational styles of Uppsala, Edinburgh and Trinity College, Dublin have a degree of common ambience based upon history as have those of RIT Stockholm, NIT Trondheim and Heriot-Watt related to their technological bias, as have those of Limerick, Sussex and Linköping based upon common innovatory influences - and so on.

Given that variety of factors leading towards uniformity, it is important to encourage an atmosphere in which diversity can flourish. One advantage of diversity relates to those of academic freedom i.e. the increased sense of responsibility which exists when the institution has a degree of choice about the structure of its governance and administration. Another advantage is the degree of choice which diversity presents to the consumer. A further advantage is that diversity tends to increase the resilience of the system as a whole. Diversity also allows limited experimentation with structures, procedures etc. without having to apply them across the whole higher education system. The Universities of Leeds and Manchester, for example, were as explained earlier originally parts of the same Victorian university, they developed and exist in similar urban civic settings a few miles

/...

apart in the North of England, they are of a similar size and range of disciplines, they function within the common framework under the British University Grants Committee, their costs are not dissimilar, and so on, but in their management they are very different institutions, and recognisably so. The compositions of their committee structure is very different, the balance of university/faculty/department roles and responsibilities are considerably different, the organisation and styles of their administrations are different, and so on. The existence of those differences based upon history, local circumstance and institutional choice, within a common framework of cost norms and public accountability, is seen as a strength of systems of higher education.

7.5 Inflexibilities

- 7.5.1 Institutional management is concerned with change; it cannot help to meet external demands or pressures, to resolve internal competition or to improve the effectiveness of the institution without the capacity to change. Yet universities are full of resistances to change.
- 7.5.2 The university by nature is a pluralistic body. It is not a firm or organisation in which senior bodies take decisions which managers can then implement uniformly and rigorously by virtue of their authority. In a university there is little hierarchical control and the pressures for movement are reduced by a wide variety of factors. In the conduct of teaching and research, the structure of disciplines and concepts of academic freedom fragment the production units and create a high degree of functional differentiation. The university is a complex society, multi-tiered in its bureaucracy, fragmented in its interests, divided horizontally and vertically in its organisation, composed of parallel authority structures in a sociological sense, and possessing differentiation between academic, financial and physical development elements i.e. it is a loose pluralistic structure with a honeycomb of cells which possess sufficient independence to be resilient.
- 7.5.3 The decision-taking structure usually reflects the above characteristics. The mechanics of that structure slow down and diffuse the pressures for change, through multi-layers, complex and interlaced committee memberships, intricate and formalised timetables etc. Such a structure gives the proposers of change, space and time in which to dispense their energies before they meet opposition; it places a premium upon experience yet few people hold office long enough to gain that experience.
- 7.5.4 The greatest source of inflexibility is the conditions of service and professional nature of the academic. Security of tenure provides the basis of independence, and other conditions (e.g. lack of specificity in duties) provide freedom of choice and action to the individual. Professional and community ties make permanent members conservative about change i.e. they are much less likely to annoy colleagues. The relatively low turnover of academic staff reinforces the conservative effect of tenure; the decline in the expansion in numbers of academic staff and in the career prospects create a further reinforcement.

/...

Thus the prime resource of the institution is resistant to institutionally-directed change. The individual possesses independence and the institution possesses few incentives or sanctions which can influence him. Even with a 6%-7% turnover per year (which is more than double that currently prevailing in most institutions) it would take a decade to make major adjustments to the composition of the faculty.

7.5.5 The foregoing are examples of the range of inflexibilities which need to be recognised by the designers of institutional management structures. It is our view that the average university needs to take steps to reduce the inflexibilities whilst not removing the pluralism and freedoms which are essential for the conduct of teaching and research. The type of change being suggested include:

- (1) The creation of a number of academic units which cut across disciplinary boundaries; apart from the direct benefits of inter-disciplinarity for teaching and research, such units reduce specialisation and increase the flexibility of usage of academic staff.
- (2) Considerable improvements in the quality and quantity of training received by all staff but particularly the academic faculty. Improved awareness of the state of the university, better understanding of managerial processes, re-education of faculty from low-demand to high-demand subjects or courses etc. would each reduce inflexibility. Institutions of higher education readily invest in the renewal of buildings, computers etc. but pay too little attention to the need to invest in the renewal and usage of their primary resource i.e. staff.
- (3) Increasing the role of lay (external) members in decision-taking; a minority of lay members on a committee can often provide the stimulus to break vested internal interests though it has to be recognised that in some countries (e.g. Denmark) this suggestion would be regarded as eroding the independence of the university beyond the tolerable.
- (4) Reducing the complexity of the decision-taking structure; for example, by integrating academic and financial decision-taking rather than having separate bodies for each aspect, by devolving more decisions to the base units without their having to be ratified upwards through the layers of the structure.
- (5) Increasing the continuity of involvement in management. The shift towards 'democratisation' has reduced the tenures of committee members and office-holding, and a balance needs to be restored if committee members are to have the necessary experience and if office-holders are to have the necessary experience and authority. It is not being suggested that the democratisation should be reversed, simply that a better balance with continuity should be achieved.
- (6) Creation of greater flexibility in the resource allocation system e.g. by procedures for the re-location of posts when they fall vacant.

/...

7.6 Managerial Efficiency

7.6.1 The overall impression from the studies is of busy people dedicated to their institutions and working hard to ensure their survival and development in a period of uncertainty and change. The impression was very much one of a relatively small number of members and administrators in each institution 'flying by couch' through the cross-currents of internal conflicts and external pressures. Almost all of the 'managements' were highly efficient in that important political sense. However, three comments can be made under this heading.

7.6.2 Although we cannot justify it, a main impression is that the greater the degree of independence the more responsibly it is exercised. In financial matters, if an institution cannot retain at least a proportion of its savings or if it cannot generate savings by switching resources from one item of expenditure to another, then it tends to spend up to the full amount allocated to it under each heading. The same is true about the degree of choice in governance i.e. a governing body which cannot pass the responsibility upwards to the Ministry is normally more efficient and effective than one which can.

The same is not necessarily true of academic matters. Independence probably benefits the efficiency of teaching and research of current members and departments, but it could be argued that internal autonomy puts too much influence in the hands of vested interests when academic developments are under review.

7.6.3 A major question is whether any relationship exists between managerial efficiency and academic vitality. It clearly is not the case that the best administered university is also the institution with the highest academic reputation or inputs. Equally it is unlikely that a poorly managed institution, which is inefficient in its usage of resources, will be staffed with high quality teachers or attractive to research funding bodies. But between those extremes it is not easy to establish any relationship and it is perhaps a topic which needs special investigation.

7.6.4 A similar type of question concerns the relationship between the usage of technology/techniques and efficiency. Leaving aside the usage of computers to undertake routine tasks, we found little interest in the universities in making use of the modern management techniques developed for large scale corporations. (from comprehensive computerised planning models to people-related techniques like job evaluation). The reluctance is based upon costs; lessons have been learnt, for example, from the over-investment in educational technology in the universities in the late 1960s. Some administrators also prefer to await the development of more advanced, and less expensive, techniques which they expect the breakthroughs in micro-electronics to produce. Whatever the reasons, it seems clear that the majority of university 'managers' are not convinced that there is a relationship between efficiency and the introduction of the range of modern management techniques which have been experimented with

/...

in a few universities over the past decade or so.

There thus remains a considerable scope for work on the relationships between management techniques, organisational efficiency and academic standards. In particular it is clear that the micro-chip revolution will bring newer and cheaper technologies to the aid of university management, and care will be needed to ensure that those technologies relate to the overall efficiency of the institution and not just to its managerial processes.

7.7 Future Trends

7.7.1 In thinking about likely future trends it is important to compare what experts were predicting in 1969 with the realities of 1979; the assumptions failed to foresee the basic changes in demography and economic circumstance which currently condition thinking about the universities. No doubt similar unforeseeable changes of circumstances will occur by the late 1980s. However it remains possible to predict some of the elements which will influence institutions of higher education e.g.

- (1) Further increases in the scarcity of resources, and the need to economise.
- (2) Tighter Parliamentary/Governmental control of the key issues affecting the institutions i.e. not necessarily more detailed control (e.g. on items of expenditure) but more sophisticated control through legislation, increased jurisdiction, better information, stronger 'advice' on academic matters and so on.
- (3) Stronger demands for a broader public accountability (i.e. higher expectations by the public, news media, interest groups etc. as to the extent to which the universities explain their activities and processes to the external world).
- (4) Further formalisation of internal group pressures for greater independence (e.g. Departments), greater power (e.g. Trade Unions) and much more information/consultation.
- (5) Development of technology, based upon the silicone-chip, which could liberate more of the human resources for concentration upon the basic purposes of the institution but whose effects are as yet largely unpredictable.
- (6) Considerable changes in the nature of the demand for education created by demographic factors, shifts in employment and the pattern of working life etc.

7.7.2 The foregoing is a selection from amongst the many factors which will combine to create the climate within which university management will be shaped in the next decade. The directions of management change and development indicated by some of the factors are obvious e.g. the need to develop improved methods of resource allocation, the increased ability to switch resources, improvements in space utilisation, better public relations and communications systems, ways of reducing the isolation of central administrations, and so on. However, perhaps the two

/...

most interesting ones to speculate on at present will be:

- (1) The need to develop new forms of internal management (including governance structures and administrative systems) when technology has made communication virtually instant, when staff work shorter hours (possibly in shifts or for limited periods of the year) and are less easily categorised, when students are less homogeneous and are pursuing individualised courses in various modes and over different time periods etc. In other words, when the factors on which groups and boundaries are based have become less stable and less important.
- (2) The impact on internal management of the changed public policies on higher education. The 1977 reforms in Sweden provide the first significant example of the comprehensive impact of such new policies. We regret that there is not the space or time to describe and analyse the post-1977 Swedish reforms since they clearly represent by far the most interesting and important planned set of changes in the management of higher education in Europe in the 1970s. The unification of the various sectors of higher education into one regionalised system, the explicit balance of accountability and autonomy, the relating of education to working life (e.g. through the re-classification of courses into occupational programme lines) the opening up of admissions criteria, the introduction of aim-oriented budgets (e.g. the budgetary and accounting separations of teaching and research), and other changes may or may not be desirable but they appear to indicate the directions of change in which other Governments will be forced by similar circumstances. It is not being suggested that other Governments will copy the Swedish reforms, but it is being suggested that university members should study the Swedish experiment since it represents the broad direction of political change and the ways in which university management might be affected. The details will differ (e.g. inter-institutional co-operation in the U.K. might not take a regional form but national 'contracts' in specialised fields or local amalgamations of institutions) but the trend less so.

7.8 Conclusion

The foregoing is a selection of the issues which appeared relevant to us during the conduct of the project. It is by no means comprehensive.

8. CONCLUSION

We wish to reiterate that the basic purpose of the project was to obtain the impressions and views of a broad sample of members and officers in a number of institutions about the 'state of the art' in institutional management in higher education. We have attempted to fulfil that aim. We have not set out to write a research paper on the subject (e.g. the growing amount of relevant scholarship and literature has not been studied and incorporated), but to produce an assembly of data and views which both administrators and researchers can make use of. It is thus logical that we have no need for a Conclusion.

C.O. / C.M.I

15th February, 1979

Programme on Institutional Management in Higher EducationSURVEY OF THE STATE-OF-THE-ART AND LIKELY FUTURE
TRENDS OF UNIVERSITY MANAGEMENT IN EUROPEPROJECT DESCRIPTION :1. Introduction

1.1 Universities are unique institutions. They possess characteristics common to other entities but their combination of those characteristics is unique (e.g. the blend of organisation, institution and community). They possess functions common to other entities but their combination of those functions is also unique (e.g. the level and inter-relationships of teaching, research and public service).

1.2 Universities are permanent institutions of major significance to the intellectual, economic, cultural and social life of the community at large; and they are the object of considerable investment of state and private capital and expectations.

1.3 Universities are a dynamic form of institution which has adapted to and served massively different environments over the centuries. In the past decade or so since the mid-1960s the universities of Europe have been subject to pressures for change of a variety and strength which has made that short period one of the most intensive in their long history, and an excellent period in which to study the changes and rigidities in the universities.

1.4 The pressures for change, whether demographic, political, economic or intellectual, are likely to continue to be varied and strong for the next decade or so. In some cases they will face the universities with the same problems as in the recent past whereas in other cases new problems will be thrust upon the universities.

1.5 The degree to which the universities respond to those pressures (i.e. to understand, assess and adapt to them) is in part a function of the management structures of the universities. Thus a study of how management structures and practices have changed, or failed to change, over the past decade to help the universities meet the increase in pressures and problems is a pre-requisite to the making of suggestions about improvements in those structures and practices which might be thought to be desirable over the next decade.

2. OECD

2.1 OECD has a significant experience of the study of university management structures. In April 1969 the Directorate for Scientific Affairs of the OECD organised a Conference on

University Planning and Management Techniques which brought together experts from OECD Member countries in this field. A major purpose of this Conference was to assess the state-of-the-art concerning quantitative planning and management techniques in institutions of higher education. The concluding remarks of the report of that conference stated that the "remaining problems of determining institutional mission, of reducing unit costs without lowering the quality of the output, of the more efficient planning and co-ordination of research activity, of devising curricula of continuing relevance, of harnessing the technology of education and of continuously adjusting their activities to meet changing needs and circumstances, cannot be resolved without changes in the management styles of universities".(1)

It is time to check on what has happened in those respects in the past decade, and to study the extent to which management innovations and new methods and techniques have in fact been absorbed in the day-to-day practices of university administrations.

2.2 As a result of the Conference it was felt that a major effort should be launched which would enable European universities to develop improved techniques for managing their institutions. To accomplish this, OECD's Centre for Education Research and Innovation established the Programme on Institutional Management in Higher Education (IIME).

During the past six years the IIME Programme has been instrumental in bringing together from Europe and North America a large number of university managers, as well as researchers on problems of university management, as part of its activities. These activities include research projects, training seminars and other technical meetings. It is thought that the work of OECD-IIME has had impact upon management practices but the degree of penetration is uncertain.

2.3 There is little doubt that the North American studies and practices of university management have been in advance of those in Europe in the recent past. OECD has attempted to bridge that gap, and it has helped to transfer American experience to Europe. However, that experience has affected practices in different European countries variously, and the reasons for that variety need to be analysed.

3. Purpose

The purpose of the project, which is funded with support from the Ford Foundation and the Stiftung Volkswagenwerk and co-ordinated through OECD-IIME, is to:

-
- (1) University Planning and Management Techniques
G. Lockwood OECD Paris, 1972.

3.1 Study the recent experience in university management structures and practices in a selection of European countries.

3.2 Compare that experience with North American experience in respect of techniques and practices.

3.3 Assess likely or desirable future trends in university management.

3.4 Provide information and views as a basis both for discussion across national boundaries and for the launching of more detailed studies in some of the selected countries.

3.5 The basic concern of the project is with management at the institutional level i.e. with the bodies and people (committees and officers) which take decisions, the structures and processes through which those decisions are taken (the governance structures) and the people and structures responsible for the provision of information and analysis, for scheduling and recording decision-taking, and for the implementation of decisions (the administrative structure).

3.6 The project will be seeking to obtain overall impressions of the changes in the problems, the practices/techniques and management. Many of the features of the university have been constant for decades and are not likely to change in the next decade; they are interesting and should be noted but they are not the object of the project e.g. permanency of academic staff appointments, interrelationship of teaching and research, the difficulty of defining objectives in detail etc. However, it is not a study of innovation; on the contrary, a significant element of study will be concerned with the rigidities of institutional management in the face of change in the problems and pressures generated by the external environment and by the internal milieu. The project will attempt to identify which of those rigidities and resistances are unavoidable by the nature of universities (e.g. by the sociology of permanent institutions) and which can be removed or reduced by improvements in institutional management.

4. Content

4.1 The project cannot hope to encompass all facets of university management in Europe over the past decade or so, and all of the pressures for change. The project will therefore be based on a limited number of institutions and it will concentrate on a number of key problems to study whether and how universities have coped with them to attempt to find successful adaptations of institutional management and therefore to comment effectively on future improvements in university management.

4.2 A limited range of problems will therefore be selected as a focus of attention to see whether they have affected or been affected by management structures, practices and techniques.

That range of problems will initially include the following but part of the purpose of the project will be to identify other existing problems and to forecast the emerging problems of the 1900s.

4.2.1 Demand Profile

Demographic swings have been significant in influence and have been exacerbated by inaccurate predictions and by pressures on behalf of particular interest groups (e.g. minority groups).

4.2.2. New legal requirements and restrictions

A variety of new legal requirements are being imposed upon the universities, creating new management problems. One example would be safety regulations, which impose upon the management additional expenditures and new organisational requirements. The recourse of the university community, both staff and students, to litigation to resolve disputes is also becoming commonplace.

4.2.3 Public accountability

The demand for the university to be more detailed and open in its accountability to the public has developed considerably, not only in respect to relations between universities and state governments but also regarding relationships with professional groups, local communities etc.

4.2.4 Autonomy

Institutional autonomy has been eroded by the pressures for accountability etc. but it has been relinquished more voluntarily in favour of inter-university bodies within the university system.

4.2.5. Scale

The increase in the number and sizes of universities have had major effects upon university management.

4.2.6 Effects of economic uncertainty

Whereas during the previous period one could be generally certain of making decisions in a growth situation, there is currently a great amount of economic uncertainty with which the universities must deal. Such uncertainty affects university planning, since one can no longer plan within previously accepted time horizons. Even annual budgets

today are in some instances subject to mid-period revisions due to uncertainties which could not be foreseen at the time during which they were drawn up. A declining interest in participatory decision-making has also been surmised in the current climate of economic uncertainty.

4.2.7 Complexity

The internal and external pressures have created a much greater complexity and fluidity in the environment surrounding university management. Institutions of higher education in Europe have undergone a very rapid growth in complexity during the past several years. Accustomed to an organisation based upon adherence to traditions long followed, the sudden introduction of new structures and programmes in European universities since 1968 has caused them to become extremely complex from a management viewpoint when contrasted with the pre-1968 situation. This has led to entirely new problems for the institutions.

4.2.8 Internal Cohesion

Fifteen years ago the internal politics of most universities were held together by a firm consensus based upon liberal views and an acceptance of partial representation; the break-up of that consensus has been one of the major problems facing university management.

4.2.9 Management/employee relations

The nature of the relations between university employees and management is changing rapidly. New demands are being made upon the management, including changes in working conditions and improvements in career possibilities for staff members. The effects of new employment legislation are also beginning to be felt in the universities.

4.2.10 Productivity

Pressures to increase the productivity of each input have magnified as the scale of operations have required more investment and as national economies have suffered from inflation.

4.3 The investigation will cover the different types of structures and practices developed for university management and planning during that period. This would include a variety of quantitative methods (such as budgeting techniques, space utilisation, planning models of student enrolment and capacity,

etc.) and behavioural/organisational approaches (such as those concerned with improved communication, more openness in decision-aiming or increased participation). The study will also seek to obtain impressions of the extent to which those methods and approaches have in fact been absorbed in the day-to-day management of universities, and have resulted in systematised management procedures. Consideration will be given both to approaches which have met with success as well as those which have failed in practice.

4.4 In addition to the effects of the problems and pressures upon the decision-taking structures and techniques of universities, the project will consider what effects their implementation have had upon university administrations. This would include such matters as the impact on professionalisation of university administrators, the degree of specialisation in university administration which has resulted from introducing such procedures and the determination of whether or not actual changes in administrative structures have taken place.

4.5 In addition to taking stock of the current situation, the study will seek to determine major trends which are likely to take place and which will have an impact upon the management of European institutions in the future. It will also seek to propose steps which might be taken by the universities to better cope with the problems they are likely to encounter.

4.6 The project will also include a comparison with the current situation in North America.

5. Methodology

5.1 The study is planned for completion by the end of 1979 and it will be conducted by a project team aided by a Steering Group and supported by the IMHE staff.

5.2 To carry out the survey, the team of researchers responsible will visit a number of institutions in participating countries. Countries have been divided into three groups and will be surveyed as follows:

GROUP 1 : Denmark, Ireland, Norway, Sweden and United Kingdom.
(G. Lockwood and E. Prosser, University of Sussex).

GROUP 2 : Belgium, France, Italy and Switzerland
(J. Jadot, Université Catholique de Louvain).

GROUP 3 : Austria, Germany, The Netherlands.
(I. Bender and W. Henning, Universität Trier and H.J. Schuster, Universität des Saarlandes).

5.3 The Steering Group will advise the project team at critical stages in the study and its members will provide country liaison and feedback throughout the duration of the project. The members of the Steering Group will also form sub-groups, on the basis of the categories of universities in 5.2 above, to work with the individual project team members. Through the interactions of the project team, Steering Group, sub-groups and country visits the methodology of the study might change and develop.

5.4 At the outset the project team is against burdening universities with the completion of a comprehensive survey questionnaire. The team has preferred to develop a detailed profile of the information and opinions it wishes to obtain from each of the countries and institutions studied. The profile will in the main be completed by members of the project team on the basis of interviews during their country visits but there are some small sections concerning basic and easily available data which either individual institutions or members of the Steering Group might be asked to complete before the visits.